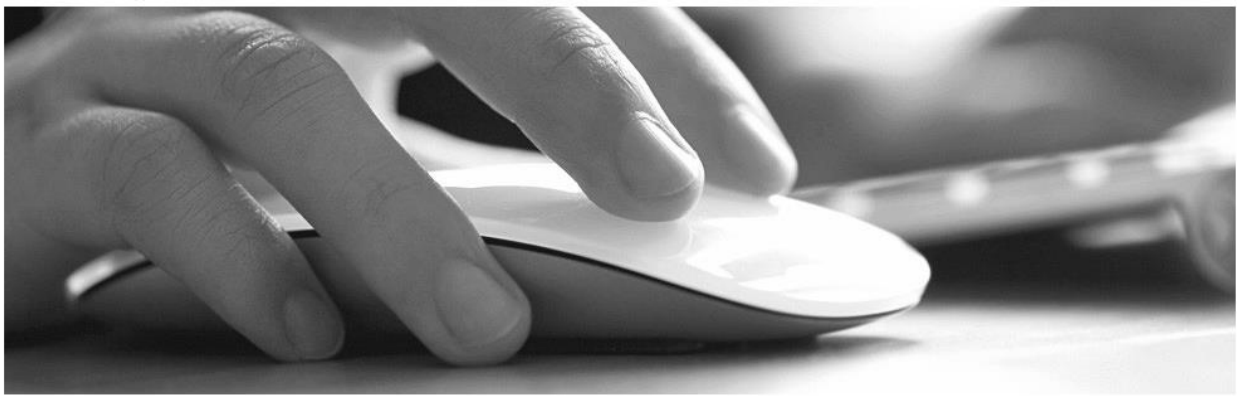




Image Management System (IMS) User's Manual



June 2015

TABLE OF CONTENTS

1	INTRODUCTION.....	5
2	IMPORTANT NOTES.....	5
2.1	System Enhancements	5
2.2	Personally Identifiable Information	5
2.3	Single Audit Data Available on FAC/IMS	6
2.4	Maximum FAC/IMS Query Records Returned	6
2.5	User Manual Conventions.....	7
3	SYSTEM SECURITY AND ACCESS.....	7
3.1	System Security	7
3.2	User ID, Password Rules, and Account Lock-Out Rules	7
3.3	Requesting a New FAC/IMS Account and Account Management	8
3.4	Login to FAC/IMS with an Existing Account	9
3.5	Logging Out of FAC/IMS.....	10
4	FAC/IMS MAIN MENU	10
5	FAC/IMS IMPORTANT NOTICES TAB	12
6	FAC/IMS A-133 AUDIT REPORTS TAB	12
6.1	General Information Search Filters.....	15
6.2	Federal Awards Search Filters	17
6.3	Federal Awards Findings Details (2013 and Beyond) Search Filters	20
6.4	Working with A-133 Audit Reports Output	21
7	FAC/IMS SPECIALIZED REPORTS TAB	27
7.1	Search Audits by Standard CFDA	28
7.2	Search Audits by Standard Auditee	30
7.3	Downloading Specialized Reports	31
Appendix A	FAC/IMS ACCOUNT MANAGEMENT	33
A.1	Creating a New IMS User Account	33
A.2	Approving a New IMS User Account.....	43
A.3	Resetting a Forgotten Password.....	48
A.4	Resetting a Known Password.....	51
A.5	Resetting FAC/IMS Security Questions	53
A.6	Disabling/Re-Enabling FAC/IMS Accounts.....	56
Appendix B	FEDERAL AGENCY TWO-DIGIT PREFIX LIST	57
Appendix C	SUMMARY REPORT DATA DEFINITIONS.....	62
Appendix D	STANDARD CFDA DATA DEFINITIONS	69
Appendix E	STANDARD AUDITEE DATA DEFINITIONS	70
Appendix F	ABBREVIATIONS AND ACRONYMS.....	72
Appendix G	GLOSSARY OF TERMS.....	73

LIST OF FIGURES

Figure 1 – FAC/IMS Too Many Records Returned Error Message	6
Figure 2 – FAC/IMS Login Page.....	9
Figure 3 – FAC/IMS Banner Sign Out Button	10
Figure 4 – FAC/IMS Landing Page	10
Figure 5 – Contact FAC via Email Window.....	11
Figure 6 – FAC/IMS A-133 Audit Reports Landing Page	12
Figure 7 – FAC/IMS Search for A-133 Audits GENERAL INFORMATION	13
Figure 8 – FAC/IMS Search for A-133 Audits Search in Progress	14
Figure 9 – FAC/IMS A-133 Audit Reports Output	14
Figure 10 – FAC/IMS A-133 Audit Reports General Information Calendar Tool	15
Figure 11 – FAC/IMS Search for A-133 Audits FEDERAL AWARDS	17
Figure 12 – FAC/IMS A-133 Audit Reports Federal Awards CFDA Table	18
Figure 13 – FAC/IMS Search for A-133 Audits FEDERAL AWARDS FINDINGS DETAILS (2013 AND BEYOND)	20
Figure 14 – FAC/IMS A-133 Audit Reports Output Top Portion	21
Figure 15 – FAC/IMS A-133 Audit Reports Output Bottom Portion.....	22
Figure 16 – FAC/IMS A-133 Audit Reports Output Save Summary Report	22
Figure 17 – FAC/IMS A-133 Audit Reports Output Save As Window.....	23
Figure 18 – FAC/IMS A-133 Audit Reports Output Download Complete	23
Figure 19 – FAC/IMS A-133 Audit Reports Output Summary Report in Excel File.....	24
Figure 20 – FAC/IMS Specialized Reports Landing Page	27
Figure 21 – FAC/IMS Specialized Reports Search Audits by Standard CFDA	28
Figure 22 – FAC/IMS Specialized Reports Search Audits by Standard Auditee	30
Figure 23 – FAC/IMS Specialized Reports Download Output Page	31
Figure 24 – Obtaining a New User Account Steps 1-2	33
Figure 25 – Obtaining a New User Account Steps 3-5	34
Figure 26 – Obtaining a New User Account Steps 6-9	35
Figure 27 – Obtaining a New User Account Step 9 Missing Data Indicators.....	36
Figure 28 – Obtaining a New User Account Step 10.....	36
Figure 29 – Obtaining a New User Account Steps 11-13	37
Figure 30 – Obtaining a New User Account Step 14.....	37
Figure 31 – Obtaining a New User Account Steps 15-16.....	38
Figure 32 – Obtaining a New User Account Steps 17-18	39
Figure 33 – Obtaining a New User Account Steps 19-20	39
Figure 34 – Obtaining a New User Account Step 21	40
Figure 35 – Obtaining a New User Account Steps 22-23	40
Figure 36 – Obtaining a New User Account Step 24.....	41
Figure 37 – Obtaining a New User Account Steps 25-26	41
Figure 38 – Obtaining a New User Account Step 27	42

Figure 39 – Approving a New User Account Steps 1-2.....	43
Figure 40 – Approving a New User Account Steps 3-5.....	44
Figure 41 – Approving a New User Account Step 6	44
Figure 42 – Approving a New User Account Step 7	45
Figure 43 – Approving a New User Account Step 8	45
Figure 44 – Approving a New User Account Step 9	46
Figure 45 – Approving a New User Account Step 10 Click Close Button	46
Figure 46 – Approving a New User Account Step 10 After Clicking Close Button	47
Figure 47 – Approving a New User Account Step 11	47
Figure 48 – Denying a New User Account Step 11	47
Figure 49 – Resetting a Forgotten Password Steps 1-2.....	48
Figure 50 – Resetting a Forgotten Password Steps 3-4.....	48
Figure 51 – Resetting a Forgotten Password Steps 5-6.....	49
Figure 52 – Resetting a Forgotten Password Steps 7-8.....	49
Figure 53 – Resetting a Forgotten Password Step 9	50
Figure 54 – Resetting a Known Password Steps 1-2	51
Figure 55 – Resetting a Known Password Steps 3-4	51
Figure 56 – Resetting a Known Password Steps 5-7	52
Figure 57 – Resetting a Known Password Step 8	52
Figure 58 – Resetting Security Questions Steps 1-2.....	53
Figure 59 – Resetting Security Questions Steps 3-4.....	53
Figure 60 – Resetting Security Questions Steps 5-6.....	54
Figure 61 – Resetting Security Questions Steps 7-8.....	54
Figure 62 – Resetting Security Questions Step 9.....	55

LIST OF TABLES

Table 1 – FAC/IMS Specialized Reports Worksheet Names and Data Definition Locations	32
Table 2 – Federal Agency Two-Digit Prefixes (Numerical Order)	57
Table 3 – Federal Agency Two-Digit Prefixes (Alphabetical Order).....	59
Table 4 – Summary Report Data Definitions	62
Table 5 – Standard CFDA Data Definitions	69
Table 6 – Standard Auditee Data Definitions	70
Table 7 – Abbreviations and Acronyms	72
Table 8 – Glossary of Terms.....	73

1 INTRODUCTION

This user's manual contains essential information that will enable the user to make full use of the Image Management System (IMS). It includes an overview of the dissemination/query system and detailed instructions on how to properly navigate the website.

According to OMB Circular A-133¹, non-federal entities that expend \$500,000 or more in a year in federal awards shall have a single audit or program-specific audit conducted for that year. Form SF-SAC and a reporting package must be sent to the Federal Audit Clearinghouse (FAC).²

The IMS is a secure, web-based, query system for authorized federal agency users to query and download images of OMB Circular A-133 reporting packages.

The IMS is only available to pre-approved, authorized users in each federal agency. The FAC website neither scrutinizes nor does it alter any reporting package for the purposes of redaction and distribution.

After reading this document, if you still have questions regarding the FAC/IMS data entry, site navigation, querying procedures, report production, etc., please contact the FAC by emailing erd.fac@census.gov or calling 1-800-253-0696.

2 IMPORTANT NOTES

2.1 System Enhancements

The current release of the FAC/IMS is significantly enhanced relative to previous releases. The entire FAC/IMS web interface has been redesigned to improve its usability, performance, and reliability. Specific FAC/IMS enhancements for this release include:

- Improved customer experience via implementation of intuitive webpage data entry and natural navigation between webpages
- Improved access to audit reports by allowing access to all audit years in a single search
- Improved query response times due to implementing 10,000 as the maximum number of query records returned, see [2.4 Maximum FAC/IMS Query Records Returned](#) for more information
- Full wildcard search against [Auditee Name](#) when searching for A-133 Audit Reports

2.2 Personally Identifiable Information

Due to sensitive information, such as personally identifiable information like names, social security numbers, etc., which may be included in OMB Circular A-133 reporting packages, each federal agency is responsible for following current Freedom of Information Act (FOIA) standards within their own agency for redacting and distributing reporting package information.

By logging into the FAC/IMS, a user expressly agrees to his or her responsibilities regarding FOIA distribution and reporting package security.

¹ <http://www.whitehouse.gov/sites/default/files/omb/assets/omb/circulars/a133/a133.pdf>

² See OMB Circular A-133, § ___.320 Report submission. (d) [Submission to clearinghouse](#).

2.3 Single Audit Data Available on FAC/IMS

Users may query FAC/IMS for complete Single Audit reporting packages for all statewide, local government, and nonprofit organization submissions. Each Single Audit reporting package is approximately 15 to 200-plus pages in length and the total file size for all files making up an individual Single Audit averages 1.5MB each. Reporting packages with a fiscal year (FY) ending date of 2008 and forward will be imaged and posted to FAC/IMS as they are processed and completed by the FAC Processing system.

Please note – starting with FY 2008 submissions, entities are required to submit their Single Audit reporting packages electronically to the FAC. This will enable the FAC to provide *all* submissions with a FY ending in 2008 or later via the FAC/IMS.

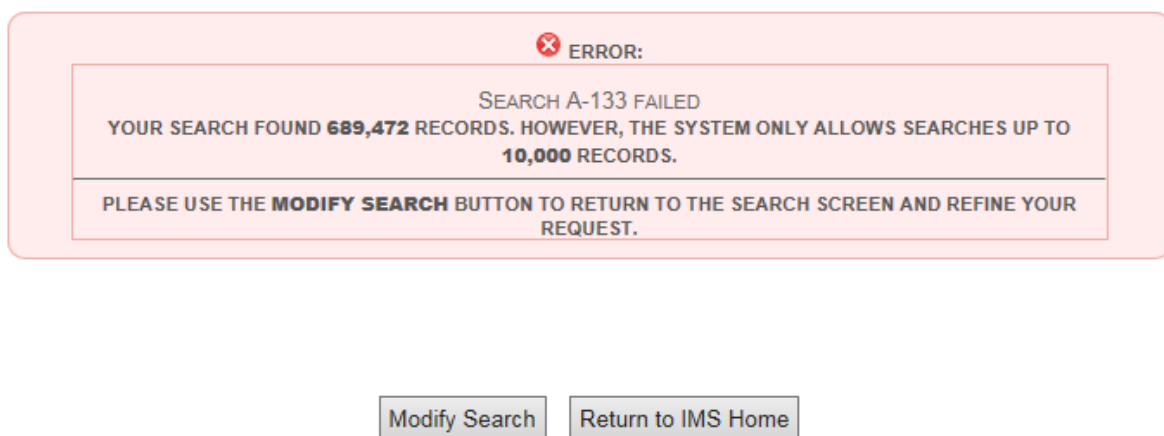
Only the following completed OMB Circular A-133 submissions are available for downloading via the FAC/IMS:

- All statewide submissions starting in 2001
- Images of reporting packages indicating current or prior year direct findings for FY ending dates of 2002 – 2007
- Images of reporting packages that have a Cognizant Agency (2004 – present)
- Beginning with FY end date of 2008, all complete submissions

2.4 Maximum FAC/IMS Query Records Returned

In order to improve FAC/IMS performance, this release has implemented a maximum threshold of 10,000 Single Audit records returned per query. If a user submits a query that returns more than 10,000 records, the user will receive an error message similar to the screenshot in Figure 1 and will be required to refine the query's search criteria until the query returns 10,000 records or less.

Figure 1 – FAC/IMS Too Many Records Returned Error Message



Click the Modify Search button to immediately return to search filter input webpage. Clicking the Return to IMS Home button will result in the FAC/IMS home page being displayed (see Figure 4). The user's search filter selections are retained by FAC/IMS regardless of which button is clicked.

2.5 User Manual Conventions

Instructions within the FAC/IMS User Manual use the following conventions:

- Specific links, buttons, tab, etc. the user should click are in **bold** within the instructions
- Screenshots may be augmented with red oval(s) to highlight one or more controls on a webpage
- Menu choices or positions will be pipe, "|", delimited; for example, Main Menu | Important Notices tab

3 SYSTEM SECURITY AND ACCESS

3.1 System Security

The FAC/IMS may be accessed by navigating to the following website:

<https://harvester.census.gov/facdissem/secure/default.aspx>

Please create a bookmark to the FAC/IMS login page. A notice of the availability of the FAC/IMS will not be published and there will be no links from any other location on the FAC website to the FAC/IMS login page. The URL will be given, along with the User ID and password information, only to authorized users who are designated by each agency's National Single Audit Coordinator. Only one single concurrent sign-on will be allowed for each User ID and password combination. Every FAC/IMS user is responsible for keeping their User ID and password confidential and therefore helping to secure the sensitive information that may be contained within the FAC/IMS.

3.2 User ID, Password Rules, and Account Lock-Out Rules

User ID

A FAC/IMS User ID is the government email address used when registering for a FAC/IMS account.

Password Rules

- Passwords must contain at least twelve (12) non-blank characters;
- Characters must meet at least three (3) of the follow four (4) categories:
 - English upper-case characters (A-Z)
 - English lower-case characters (a-z)
 - Base 10 digits (0-9)
 - Non-Alphanumeric (examples: !, @, #, etc.)
- At least one character must be changed when new passwords are created
- Passwords cannot contain your account name, your first name, or your last name

With this release of FAC/IMS, users will establish security questions when registering for a FAC/IMS account and, because of this, users will also be able to reset forgotten passwords or change their passwords using the password self-service function associated with FAC/IMS.

FAC/IMS passwords expire after 60 days, regardless of activity. Users will be notified of password expirations via email seven days before expiration.

Account Lock-Out Rules

- All FAC/IMS user accounts will be locked out after five (5) consecutive failed logon attempts within a 15 minute time period; user accounts which have been locked out will be automatically unlocked after a 15 minute waiting period
- All FAC/IMS users are automatically logged out of the system after 15 minutes of inactivity
- All FAC/IMS accounts are automatically disabled after 30 days of inactivity

3.3 Requesting a New FAC/IMS Account and Account Management

Instructions for requesting a new FAC/IMS account and other account management procedures, such as requesting deletion of FAC/IMS accounts, are provided in [Appendix A FAC/IMS ACCOUNT MANAGEMENT](#).

[Remainder of this page left intentionally blank]

3.4 Login to FAC/IMS with an Existing Account

The following login procedure applies to users who have approved FAC/IMS accounts established:

Step 1: Go to <https://harvester.census.gov/facdissem/secure/default.aspx>.

Figure 2 – FAC/IMS Login Page

The screenshot shows the FAC/IMS Login Page. At the top, there is a header with the Federal Audit Clearinghouse logo and the text "Image Management System". Below the header, there is a navigation bar with links: "Instruction Manual", "FAC IDDS", and "FAC Home Page". A warning message is displayed: "**WARNING*WARNING*WARNING** This is a Census Bureau computer system. Census Bureau computer systems are provided for the processing of official U.S. Government information only. All data contained within Census Bureau computer systems are owned by the Census Bureau and may be monitored, intercepted, recorded, read, copied, or captured in any manner, and disclosed in any manner by authorized personnel. THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM. System personnel may disclose any potential evidence of crime found on Census Bureau computer systems to appropriate authorities. USE OF THIS SYSTEM BY ANY USER, AUTHORIZED OR UNAUTHORIZED, CONSTITUTES CONSENT TO MONITORING, INTERCEPTION, RECORDING, READING, COPYING, CAPTURING, AND DISCLOSURE OF COMPUTER ACTIVITY. Use of this computer without authorization or for unauthorized purposes is a violation of federal law and punishable by fines or imprisonment (Public Law 99-474). **WARNING*WARNING*WARNING** ONLY AUTHORIZED USERS MAY ACCESS THIS SYSTEM". Below the warning, there is a section titled "Enter Credentials". It contains a checkbox labeled "I have read, understood, and agree to the Image Management Disclaimer". Below the checkbox, there are input fields for "Username:" and "Password:". To the right of the password field is a "Sign In" button. Below the input fields, there are links: "Forgot Password", "Change Password", "Update Security Questions", and "Dont Have an Account?: Register". Red arrows with numbers indicate the login steps: 1 points to the "Image Management Disclaimer" link, 2 points to the "Sign In" button, 3a points to the "Username:" field, 3b points to the "Password:" field, and 3c points to the checkbox. A black footer bar at the bottom contains the text: "If you need assistance, please contact the Federal Audit Clearinghouse (FAC) via e-mail or call 1-800-253-0696."

- Step 2: Click the **Image Management Disclaimer** link and read the disclaimer if you have not done so already.
- Step 3: Enter a) your Username, b) Password (case sensitive), and c) click the checkbox labeled “I have read, understood, and agree to the Image Management Disclaimer”.
- Step 4: Click the **Sign In** button. After a successful login, FAC/IMS will display the FAC/IMS Main Menu | Important Notices tab as displayed in Figure 4 below.

3.5 Logging Out of FAC/IMS

After a successful login, the FAC/IMS banner will always display a Sign Out button on the right-hand side of the banner as displayed in Figure 3.

Figure 3 – FAC/IMS Banner Sign Out Button



To logout of FAC/IMS at any time, simply click the **Sign Out** button. After clicking the Sign Out button, the FAC/IMS login page, see Figure 2, will be displayed.

4 FAC/IMS MAIN MENU

After a successful login, FAC/IMS will display the FAC/IMS Main Menu | Important Notices tab as displayed in the following figure. The initial landing page for the FAC/IMS will always display Main Menu | Important Notices tab.

Figure 4 – FAC/IMS Landing Page



From top to bottom and then from left to right for options on the same row, the following options are available on the FAC/IMS landing page:

- **Sign Out button** – see section [3.5 Logging Out of FAC/IMS](#) for details
- **Instruction Manual link** – clicking this link will open this document in the browser being used to access the FAC/IMS
- **Federal Agency Contacts link** – clicking this link will open up a PDF file that lists Federal Agency Approvers for FAC/IMS
- **FAC IDDS link** – click this link to navigate to the FAC/IDDS landing page
- **FAC Home Page link** – click this link to navigate the FAC home page
- **Important Notices tab** – see section [5 FAC/IMS IMPORTANT NOTICES TAB](#) for details
- **A-133 Audit Reports tab** – see section [6 FAC/IMS A-133 AUDIT REPORTS TAB](#) for details
- **Specialized Reports tab** – see section [7 FAC/IMS SPECIALIZED REPORTS TAB](#) for details
- **e-mail link** – clicking this link will open an e-mail pop-up window, as displayed in Figure 5 below, allowing users to send e-mails to the FAC staff

Figure 5 – Contact FAC via Email Window

Contact FAC via Email

Please complete form and click **Send** to submit e-mail message to FAC.

All fields are required.

From: (example: john.doe@census.gov)

Subject:
[Enter subject here]

Message:
[Enter message here]

Send Cancel

5 FAC/IMS IMPORTANT NOTICES TAB

The Important Notices tab will display significant information such as FAC/IMS unavailability due to scheduled maintenance, scheduled system upgrades, patches, or new releases, and other system-related notices that may impact FAC/IMS users. This tab does not provide users with any functionality, it strictly provides information. See Figure 4 above for a screenshot of the Important Notices tab.

6 FAC/IMS A-133 AUDIT REPORTS TAB

The A-133 Audit Reports tab provides users with the capability to search for audit reports across all years in a single search query. To navigate to this tab, click the **A-133 Audit Reports** tab in the FAC/IMS Main Menu. After clicking the A-133 Audit Reports tab, the following webpage will be displayed:

Figure 6 – FAC/IMS A-133 Audit Reports Landing Page



To search for audit reports, click the **Search A-133 Audits (1997-2015)** link. After clicking this link, the following webpage will be displayed:

Figure 7 – FAC/IMS Search for A-133 Audits | GENERAL INFORMATION

Search for A-133 Audits

GENERAL INFORMATION

Fiscal Year (Required)

☒ All Years
☐ 2015
☐ 2014
☐ 2013

FAC Release Date (MM/DD/YYYY)

From

To

Auditee EIN i

^

v

EIN Relationship

Either v

Auditee Name i

Auditee State

select all | unselect all
☐ Alabama
☐ Alaska
☐ American Samoa
☐ Arizona

▶ **FEDERAL AWARDS**

▶ **FEDERAL AWARDS FINDINGS DETAILS (2013 AND BEYOND)**

Note – this webpage uses an accordion-type section display control to facilitate inputting search filters for the following categories:

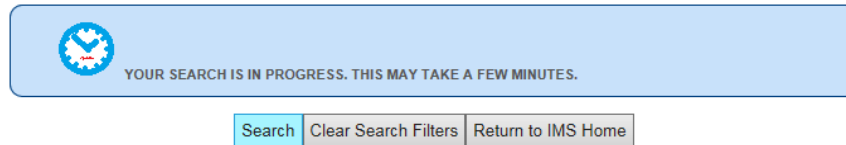
- GENERAL INFORMATION – see [section 6.1](#) for details
- FEDERAL AWARDS – see [section 6.2](#) for details
- FEDERAL AWARDS FINDINGS DETAILS (2013 AND BEYOND) – see [section 6.3](#) for details

Only one search filter category can be expanded and displayed at a time. Expand a selected search filter category by clicking the triangle to the left of the category title.

The functionality of the three buttons at the top and bottom of the Search for A-133 Audits form are described below:

- **Search** – click this button to submit your search query to FAC/IMS; the following message may appear on the webpage while the search is being processed

Figure 8 – FAC/IMS Search for A-133 Audits | Search in Progress



If the search returns more than 10,000 records, you will have to refine your search to reduce the number of records returned to 10,000 or less. For details, please see section 2.4 Maximum FAC/IMS Query Records Returned.

After a successful A-133 audits search, in which 1-10,000 records are returned, a webpage similar to Figure 9 will be displayed.

Figure 9 – FAC/IMS A-133 Audit Reports | Output

YOUR SEARCH FOUND 71 RECORD(S) [Download Summary Report](#)

SEARCH CRITERIA:

- FISCAL YEAR : ALL YEARS
- FAC RELEASE DATE :
- AUDITEE EIN :
- AUDITEE EIN RELATIONSHIP :
- AUDITEE NAME :
- AUDITEE STATE : AS
- FEDERAL AGENCIES WITH CURRENT OR PRIOR YEAR AUDIT FINDINGS ON DIRECT AWARDS :
- CFDA NUMBERS :
- CFDA CONTAINS :
- DIRECT AWARD :
- MAJOR PROGRAM :
- TYPE OF AUDIT FOR MAJOR PROGRAMS :
- FEDERAL AWARD FINDINGS :
- COGNIZANT OR OVERSIGHT AGENCY (FAC CALCULATED) :
- NAME OF FEDERAL COGNIZANT/OVERSIGHT AGENCY :
- FEDERAL AWARD FINDINGS DETAILS (2013 AND BEYOND) :

[Modify Search](#) [Return to IMS Home](#)

Selected Audit Reports [Download Audits](#)

You have selected 71 items for download.

Auditee EIN	Auditee Name	City	State	Fiscal Year End Date	FAC Accepted Date	File Name	Form	Audit	Download
		PAGO PAGO	AS	09/30/2013	06/12/2014	21855020131	Form	Audit	<input checked="" type="checkbox"/>
		PAGO PAGO	AS	09/30/2012	06/18/2013	21855020121	Form	Audit	<input checked="" type="checkbox"/>
		PAGO PAGO	AS	09/30/2011	08/14/2012	21855020111	Form	Audit	<input checked="" type="checkbox"/>
		PAGO PAGO	AS	09/30/2010	07/01/2011	21855020101	Form	Audit	<input checked="" type="checkbox"/>
		PAGO PAGO	AS	09/30/2009	07/02/2010	21855020091	Form	Audit	<input checked="" type="checkbox"/>
		PAGO PAGO	AS	09/30/2008	06/17/2009	21855020081	Form	Audit	<input checked="" type="checkbox"/>

Details on how to download a single SF-SAC form, a single audit, or multiple audit packages including audit reports and an inventory list of audit reports downloaded are provided in section [6.4 Working with A-133 Audit Reports Output](#).

- **Clear Search Filters** – click this button to clear all A-133 audit report search filters except Fiscal Year (Required), which will be set to its default setting of All Years.
- **Return to IMS Home** – clicking this button will result in the FAC/IMS home page being displayed (see Figure 4).

6.1 General Information Search Filters

If necessary, expand the GENERAL INFORMATION search filter section by clicking the triangle to the left of the section title. Figure 7 provides a screenshot of the GENERAL INFORMATION section. From top to bottom and then from left to right for search filters on the same row, descriptions and operational instructions for each GENERAL INFORMATION search filter are provided below:

- **Fiscal Year (Required)** – This search filter is required; to select an individual FY or multiple years, you must first uncheck the All Years check box. Likewise, to check the All Years check box, you must first uncheck all of the individual FY checkboxes.
- **FAC Release Date (MM/DD/YYYY)** – This search filter is made up of two inputs – a “From” and a “To” date; both of these filter inputs are optional. After clicking inside either the From or To input box, a calendar tool will automatically open on the webpage as depicted in the following screenshot:

Figure 10 – FAC/IMS A-133 Audit Reports | General Information | Calendar Tool

The screenshot displays the 'FAC Release Date (MM/DD/YYYY)' section. It features two input fields labeled 'From' and 'To'. Below these fields is a calendar interface for February 2015. The calendar has a header with 'Feb' and '2015', and a grid of days from Sunday to Saturday. The date '11' is highlighted in yellow.

Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28

The use of the calendar tool is recommended to avoid any errors when inputting dates. Alternatively, dates may be typed into the From or To input boxes. FAC/IMS validates all input dates and provides error messages for the following date validation errors:

- Date does not use MM/DD/YYYY format
- Date does not exist (e.g., 6/31/2012, 21/1/2008, etc.)
- To Date precedes From Date
- **Auditee EIN** – This filter is optional; enter one or more EINs in this control separating individual EINs with a return (e.g., Enter key). EINs must be nine digits in length and contain base 10 digits (0-9) only. FAC/IMS validates all input EINs and provides error messages if one or more input EIN fails validation. Please note – an extra blank line at the bottom of a list of EINs will cause FAC/IMS to provide an EIN error message.
- **EIN Relationship** – This filter is optional and is only available if one or more EINs are entered in the Auditee EIN search filter. An EIN can be either primary or secondary for each A-133 Audit package submitted. When searching for A-133 Audits reports submitted by EIN(s), FAC/IMS users may use this search filter to search for only primary EIN(s), only secondary EIN(s), or either primary or secondary EIN(s). No text can be entered into this search filter and, therefore, FAC/IMS will not generate any error messages associated with this filter
- **Auditee Name** – This filter is optional; use this search filter if the auditee's name is known in full or in part as the FAC/IMS uses this filter to conduct a full wildcard search against this filter's value; for example, if "COMMUNITY" is entered into this search filter and a search submitted, records similar to the following auditee names are returned: COMMUNITY CENTER OF ABC, ABC COMMUNITY CENTER, IMPROVING ABC COMMUNITY, etc.
- **Auditee State** – This filter is optional and provides select all and unselect all functionality; use this filter to select an individual state/U.S. territory or multiple states/U.S. territories in support of regional analyses; the states and U.S. territories are listed in alphabetical order.

Details on how to download a single SF-SAC form, a single audit, or multiple audit packages including audit reports and an inventory list of audit reports downloaded are provided in section [6.4 Working with A-133 Audit Reports Output](#).

[Remainder of this page left intentionally blank]

6.2 Federal Awards Search Filters

If necessary, expand the FEDERAL AWARDS search filter section by clicking the triangle to the left of the section title. Figure 11 below provides a screenshot of the FEDERAL AWARDS section.

Figure 11 – FAC/IMS Search for A-133 Audits | FEDERAL AWARDS

FEDERAL AWARDS

Federal Agencies with Current or Prior Year Audit Findings on Direct Awards
[select all](#) | [unselect all](#)

- ☐ 01 - African Development Foundation
- ☐ 23 - Appalachian Regional Commission
- ☐ 88 - Architectural & Transportation Barriers Compliance Board
- ☐ 13 - Central Intelligence Agency
- ☐ 29 - Commission on Civil Rights

CFDA Number ⓘ

Prefix Extension Contains ?

- ☐ ⓘ

Prefix	Extension	Contains?

Direct Award

Major Program

Type of Audit for Major Programs

Federal Award Findings

Cognizant or Oversight Agency (FAC Calculated)

Name of Federal Cognizant/Oversight Agency
[select all](#) | [unselect all](#)

- ☐ 01 - African Development Foundation
- ☐ 23 - Appalachian Regional Commission
- ☐ 88 - Architectural & Transportation Barriers Compliance Board
- ☐ 13 - Central Intelligence Agency
- ☐ 29 - Commission on Civil Rights

ⓘ

FEDERAL AWARDS FINDINGS DETAILS (2013 AND BEYOND)

From top to bottom and then from left to right for search filters on the same row, descriptions and operational instructions for each FEDERAL AWARDS search filter are provided below:

- **Federal Agencies with Current or Prior Year Audit Findings on Direct Awards** – This filter is optional and provides select all and unselect all functionality; use this

filter to select one or more federal agency that have had audit findings in the current or prior FY on direct awards; the federal agencies are listed in alphabetical order; please see [Appendix B FEDERAL AGENCY TWO-DIGIT PREFIX LIST](#) for the complete list of federal agencies as defined by OMB Circular A-133, sorted by CFDA number and sorted alphabetically.

- **CFDA Number** – This search filter is made up of three inputs – CFDA Prefix, CFDA Extension, and a Contains option for the Extension; all of these filter inputs are optional. To search for audit reports for a selected CFDA, use the Prefix drop-down box to select a CFDA, and then click the Add button. Multiple CFDA's can be added.

Note – CFDA data must appear in the table shown inside the red oval in Figure 12 in order for FAC/IMS to include it as a search criterion.

Figure 12 – FAC/IMS A-133 Audit Reports | Federal Awards | CFDA Table

CFDA Number i

Prefix Extension

07 - 0 Add ☐ Contains i

Prefix	Extension	
07	0	Delete

To search for audit reports for a selected CFDA and extension, use the Prefix drop-down box to select a CFDA, enter the extension in the Extension text box, and then click the Add button.

To search for audit reports for a selected CFDA and a “family” of CFDA extensions, use the Prefix drop-down box to select a CFDA, enter the extension family’s first digit or first two digits in the Extension text box, check the Contains checkbox, and then click the Add button. When the Contains checkbox is checked, the FAC/IMS conducts a wildcard search (i.e., an extension of “0” is treated as “0*” during the query) against that extension. For example, if a prefix of “07” and an extension of “0” are entered into the CFDA Number table and the Contains checkbox is checked, audit reports with CFDA prefix and extension combinations of “07-000” through “07-099” would be returned in the query’s results.

- **Direct Award** – This search filter is optional; set to Yes to find audit reports for only direct awards only; set to No to find audit reports for indirect awards only; leave blank to search for both direct and indirect award audit reports.
- **Major Program** – This search filter is optional; set to Yes to find audit reports for only major programs; set to No to find audit reports that are not designated as a

major program; leave blank to search for both major program and non-major-program audit reports.

- Type of Audit for Major Programs – This search filter is optional; use the drop-down box to select a type of audit for major programs; only one type of audit may be selected from the following options:
 - Unqualified/Unmodified
 - Qualified
 - Adverse Opinion
 - Disclaimer of Opinion
- Federal Award Findings – This search filter is optional; set to Yes to find audit reports with federal award findings only; set to No to find audit reports without federal award findings only; leave blank to find audit reports regardless of their federal award findings status.
- Cognizant or Oversight Agency (FAC Calculated) – This search filter is optional; set to Cognizant to find audit reports associated with FAC calculated cognizant agencies; set to Oversight to find audit reports associated with FAC calculated oversight agencies; leave blank to find all audit reports regardless of their FAC calculated cognizant/oversight agency status.
- Name of Federal Cognizant/Oversight Agency – This filter is optional and is only activated if Cognizant or Oversight is selected in the Cognizant or Oversight Agency (FAC Calculated) filter. This filter provides select all and unselect all functionality. Use this filter to select one or more cognizant/oversight federal agency; the federal agencies are listed in alphabetical order; please see [Appendix B FEDERAL AGENCY TWO-DIGIT PREFIX LIST](#) for the complete list of federal agencies as defined by OMB Circular A-133, sorted by CFDA number and sorted alphabetically.

Details on how to download a single SF-SAC form, a single audit, or multiple audit packages including audit reports and an inventory list of audit reports downloaded are provided in section [6.4 Working with A-133 Audit Reports Output](#).

[Remainder of this page left intentionally blank]

6.3 Federal Awards Findings Details (2013 and Beyond) Search Filters

If necessary, expand the FEDERAL AWARDS FINDINGS DETAILS (2013 AND BEYOND) search filter section by clicking the triangle to the left of the section title. Figure 13 below provides a screenshot of the FEDERAL AWARDS FINDINGS DETAILS (2013 AND BEYOND) section.

Figure 13 – FAC/IMS Search for A-133 Audits | FEDERAL AWARDS FINDINGS DETAILS (2013 AND BEYOND)

GENERAL INFORMATION

FEDERAL AWARDS

FEDERAL AWARDS FINDINGS DETAILS (2013 AND BEYOND)

Federal Award Findings Details (2013 and beyond) [select all](#) | [unselect all](#)

	Modified Opinion	Other Matters	Material Weakness	Significant Deficiency	Other Findings
<input checked="" type="checkbox"/>	Y	N	N	N	N
<input type="checkbox"/>	Y	N	Y	N	N
<input type="checkbox"/>	Y	N	N	Y	N
<input type="checkbox"/>	N	Y	N	N	N
<input type="checkbox"/>	N	Y	Y	N	N
<input type="checkbox"/>	N	Y	N	Y	N
<input type="checkbox"/>	N	N	Y	N	N
<input type="checkbox"/>	N	N	N	Y	N
<input type="checkbox"/>	N	N	N	N	Y

This search filter section contains one filter – Federal Award Findings Details (2013 and beyond). Beginning with FY 2013 Single Audit submissions, federal award findings are categorized based upon the following findings Yes/No data elements:

- Modified Opinion
- Other Matters
- Material Weakness
- Significant Deficiency
- Other Findings


There are ten validation selections – the nine combinations displayed in Figure 13 and unchecking all, which is equivalent to searching for all reports, regardless of finding status.

Details on how to download a single SF-SAC form, a single audit, or multiple audit packages including audit reports and an inventory list of audit reports downloaded are provided in the following section.

6.4 Working with A-133 Audit Reports Output

After a successful A-133 audits search, in which 1-10,000 records are returned, a webpage, similar to the page depicted in the following two screenshots, will be displayed.

Figure 14 – FAC/IMS A-133 Audit Reports | Output | Top Portion

YOUR SEARCH FOUND **757** RECORD(S)  [Download Summary Report](#)

SEARCH CRITERIA:

- FISCAL YEAR : **2010, 2009**
- FAC RELEASE DATE :
- AUDITEE EIN :
- AUDITEE EIN RELATIONSHIP :
- AUDITEE NAME :
- AUDITEE STATE : **AK**
- FEDERAL AGENCIES WITH CURRENT OR PRIOR YEAR AUDIT FINDINGS ON DIRECT AWARDS :
- CFDA NUMBERS :
- CFDA CONTAINS :
- DIRECT AWARD :
- MAJOR PROGRAM :
- TYPE OF AUDIT FOR MAJOR PROGRAMS :
- FEDERAL AWARD FINDINGS :
- COGNIZANT OR OVERSIGHT AGENCY (FAC CALCULATED) :
- NAME OF FEDERAL COGNIZANT/OVERSIGHT AGENCY :
- FEDERAL AWARD FINDINGS DETAILS (2013 AND BEYOND) :

Modify Search
Return to IMS Home

Selected Audit Reports ▼
Download Audits

You have selected 757 items for download. (Only the first 100 will be downloaded).



Auditee EIN	Auditee Name	City	State	Fiscal Year End Date	FAC Accepted Date	File Name	Form	Audit 	Download 
		PILOT POINT	AK	09/30/2009	06/28/2012	13019320091	Form	Audit	✓
		FAIRBANKS	AK	06/30/2010	03/22/2012	12207520101	Form	Audit	✓
		FAIRBANKS	AK	06/30/2009	09/13/2010	12207520091	Form	Audit	✓
		KENAI	AK	06/30/2009	09/21/2010	20319420091	Form	Audit	✓
		JUNEAU	AK	06/30/2010	02/18/2011	21380720101	Form	Audit	✓
		JUNEAU	AK	06/30/2009	11/12/2009	21380720091	Form	Audit	✓
		ANCHORAGE	AK	06/30/2010	03/15/2011	12144020101	Form	Audit	✓
		ANCHORAGE	AK	06/30/2009	02/24/2010	12144020091	Form	Audit	✓

Figure 15 – FAC/IMS A-133 Audit Reports | Output | Bottom Portion

	KETCHIKAN	AK	12/31/2009	09/27/2010	19782520091	Form	Audit	<input checked="" type="checkbox"/>
	KETCHIKAN	AK	12/31/2009	09/27/2010	19782520092	Form	Audit	<input checked="" type="checkbox"/>
	BETHEL	AK	06/30/2010	01/31/2011	19168520101	Form	Audit	<input checked="" type="checkbox"/>
	BETHEL	AK	06/30/2009	03/16/2010	19168520091	Form	Audit	<input checked="" type="checkbox"/>
	BARROW	AK	06/30/2010	03/07/2011	22676620101	Form	Audit	<input checked="" type="checkbox"/>

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 ...

You have selected 757 items for download. (Only the first 100 will be downloaded).

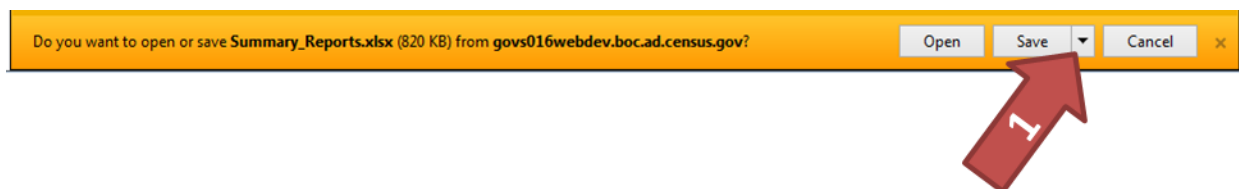
Selected Audit Reports

The A-133 audit reports output webpage provides a summary of the search criteria used to create the output at the top of webpage and displays all audit reports returned, 25 reports at a time, in the output table. The output table is initially sort by column Auditee EIN in descending order. The capability to navigate amongst the pages of audit reports is provided at the bottom of the output webpage. Please note – only the *latest* version of each audit report is displayed in the output table.

From top to bottom and then from left to right for search filters on the same row, descriptions and operational instructions for each control on the A-133 audit reports output page are provided below:

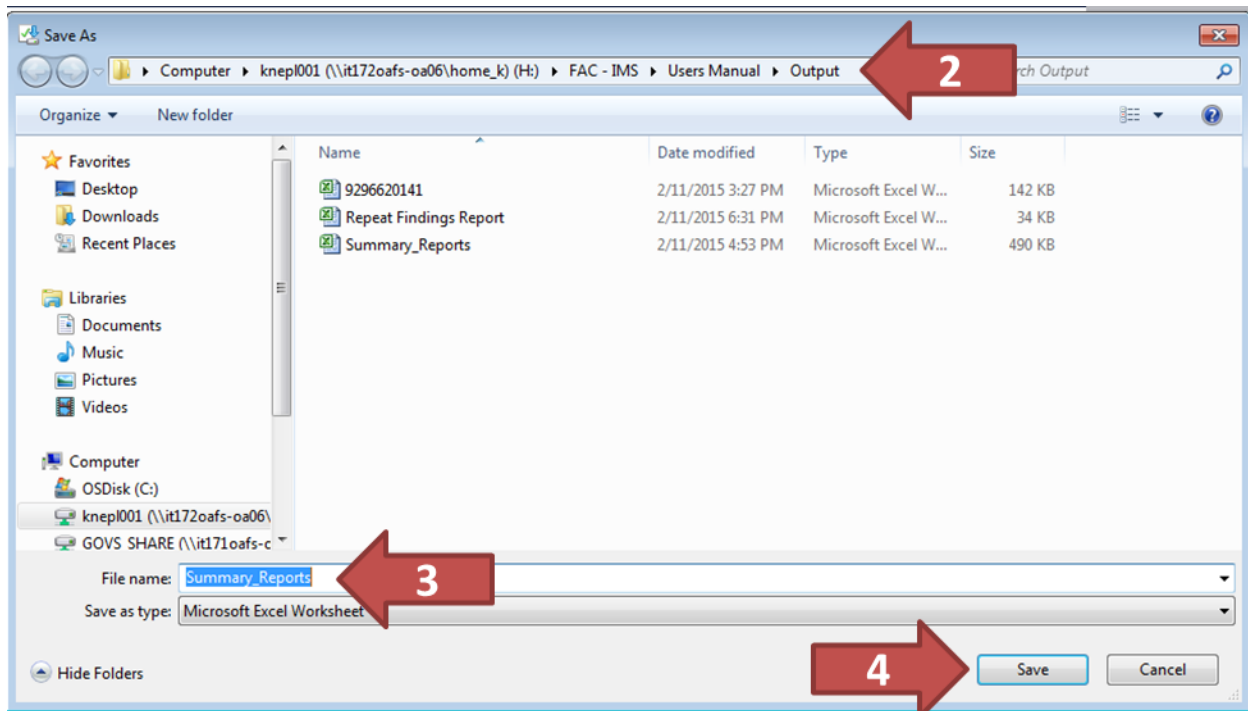
- **Download Summary Report** – Click this link to download a summary report of the search criteria selected. After clicking this link, there may be a slight delay as FAC/IMS creates the summary report in an Excel file. Eventually, an open/save file dialog window, similar to that shown Figure 16, will be displayed. To save the summary report to a directory or folder of your choosing, execute the following step-by-step instructions.

Step 1: Click the **downward-point triangle**, Figure 16, to the right of the Save button and select option **Save as** (not shown in Figure 16). After selecting option Save as, the standard file Save As window, as shown in Figure 17, will be displayed.

Figure 16 – FAC/IMS A-133 Audit Reports | Output | Save Summary Report

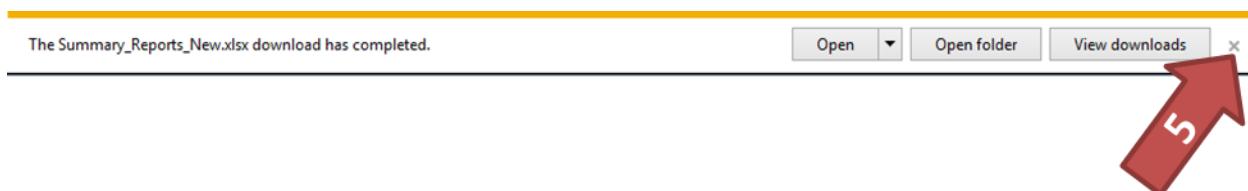
- Step 2: Navigate to the folder of your choice.
- Step 3: Update the filename if desired.
- Step 4: Click the **Save** button. After clicking the Save button, a download complete dialog window, similar to that shown in Figure 18, will be displayed.

Figure 17 – FAC/IMS A-133 Audit Reports | Output | Save As Window



- Step 5: Select the option desired or close this window by clicking the **X** in far right-hand side of the window.

Figure 18 – FAC/IMS A-133 Audit Reports | Output | Download Complete



The summary report Excel file, shown in Figure 19, contains the following nine tabs. The last of these tabs provides data definitions for the data provided in the other tabs in the summary report. These data definitions are provided in Appendix C SUMMARY REPORT DATA DEFINITIONS.

- Search Summary – repeats the search criteria shown in Figure 14
- GENERAL INFO
- CFDA INFO
- FINDINGS
- AGENCY INFO
- EIN INFO
- DUNS INFO
- MULTIPLE CPAS INFO
- KEY FOR FAC INFO – provides data definitions

Figure 19 – FAC/IMS A-133 Audit Reports | Output | Summary Report in Excel File

	A	B	C	D	E	F
1			Summary Report			
2			Report Generated 02/13/2015			
3						
4			<u>Search Summary</u>			
5		<u>Search Criteria</u>				
6		Fiscal Year	2010, 2009			
7		FAC Release Date				
8		Auditee EIN				
9		Auditee EIN Relationship				
10		Auditee Name				
11		Auditee State	AK			
12		Federal Agencies with Current or Prior Year Audit Findings on Direct Awards				
13		CFDA Numbers:				
14		CFDA Contains:				
15		Direct Award				
16		Major Program				
17		Type of Audit for Major Programs				
18		Federal Award Findings				
19		Cognizant or Oversight Agency (FAC Calculated)				
20		Name of Federal Cognizant/Oversight Agency				
21		Federal Award Findings Details (2013 and beyond)				
22						
23						
24		Total Results Returned:	757			
25						
26						
27						
28						
29						
30						
31						
32						
33						
34						
35						
36						
37						
38						
39						
40						
41						

- **Modify Search** – Click this button to return to the General Information section of the A-133 Audit Reports search filter input webpage. Note – this button is also available at the bottom of the output webpage as displayed in Figure 15.
- **Return to IMS Home** – Click this button to return to the FAC/IMS home page, displayed in Figure 4. Note – this button is also available at the bottom of the output webpage as displayed in Figure 15.
- **Select Audit Reports** – Please note – you must make a selection within this drop-down box to download audit reports numbered ≥ 101 , as displayed in the output table. If you do not make a selection within this drop-down box and click the Download Audits button, the first 100 audit reports as displayed in the output table, and the FileNameCrossReferenceList Excel file, will be downloaded. Once you make a selection within this drop-down box, the statement “You have selected ### items for download. (Only the first 100 will be downloaded)” will no longer be displayed. Note – this drop-down box is also available at the bottom of the output webpage as displayed in Figure 15.
- **Download Audits** – Please note – you must make a selection within the Select Audit Reports drop-down box to download audit reports numbered ≥ 101 , as displayed in the output table. If you do not make a selection within the Select Audit Reports drop-down box and click the Download Audits button, the first 100 audit reports as displayed in the output table, and the FileNameCrossReferenceList Excel file, will be downloaded. Once you make a selection within the Select Audit Reports drop-down box, click the Download Audits button to download the audits defined by the Select Audit Reports drop-down box. Note – button is also available at the bottom of the output webpage as displayed in Figure 15.

After clicking the Download Audits button, a file Open/Save window (Figure 16), then a Save As window (Figure 17), and finally a Download Completed window (Figure 18) will be displayed in sequence to facilitate saving the zipped download audits file.

- **Output Table Column Headings** – Click any of the first six column heading in the output table to sort as described below:
 - **Auditee EIN** when the output table is first displayed, it sorted descending on this column; click this column heading to alternate between ascending and descending sorts
 - **Auditee Name** the initial click this column heading will sort ascending; additional clicks will alternate between descending and ascending sorts
 - **City** the initial click this column heading will sort ascending; additional clicks will alternate between descending and ascending sorts

- State the initial click this column heading will sort ascending; additional clicks will alternate between descending and ascending sorts
- Fiscal Year End Date the initial click this column heading will sort descending; additional clicks will alternate between ascending and descending sorts
- FAC Accepted Date the initial click this column heading will sort descending; additional clicks will alternate between ascending and descending sorts
- Download Select All/Unselect All Icon – Click this icon to toggle between selecting all audit reports and unselecting all audit reports.
- Form Link – To download SF-SAC data for a single audit, click the Form link associated with the audit. After clicking a Form link, a file Open/Save window (Figure 16), then a Save As window (Figure 17), and finally a Download Completed window (Figure 18) will be displayed in sequence to facilitate saving the SF-SAC data in an Excel file. To download SF-SAC data for all audits in the output table, use the [Download Summary Report](#) control.
- Audit Link – To download a single audit report, click the Audit link associated with the audit of interest. After clicking an Audit link, a file Open/Save window (Figure 16), then a Save As window (Figure 17), and finally a Download Completed window (Figure 18) will be displayed in sequence to facilitate saving the selected audit report. To download multiple audit reports, use the Select Audit Reports and Download Audits controls as described above.
- Download Checkbox – Uncheck the download checkboxes for audit reports you do not want to download. For example, if you would like to download audit reports 6-100, as displayed in the audit reports output table, set control Select Audit Reports to **Audit Reports 1-100**, uncheck the download checkbox for the first five audit reports in the output table, and then click button **Download Audits**. The audit reports for records 6-100, as displayed in the output table, along with the FileNameCrossReferenceList Excel file, will be downloaded as a result.
- Page Navigation Tool – To navigate between pages within the output table, scroll to the bottom of the output table and click a selected page number. Click an ellipsis icon (...) to show an additional ten adjacent pages.

[Remainder of this page left intentionally blank]

7 FAC/IMS SPECIALIZED REPORTS TAB

The Specialized Reports tab provides users a gateway webpage to run the following specialized reports:

- Search Audits by Standard CFDA – see [section 7.1](#) for details
- Search Audits by Standard Auditee – see [section 7.2](#) for details

To navigate to this tab, click the **Specialized Reports** tab in the FAC/IMS Main Menu. After clicking the Specialized Reports tab, the following webpage will be displayed:

Figure 20 – FAC/IMS Specialized Reports Landing Page



To navigate to any of the specialized reports' search filter input page, click the link to specialized report (Figure 20).

7.1 Search Audits by Standard CFDA

Click the Search by Standard CFDA link in the Specialized Reports landing page to navigate to the Search Audits by Standard CFDA page. Figure 21 provides a screenshot of this webpage.

Figure 21 – FAC/IMS Specialized Reports | Search Audits by Standard CFDA

Search Audits by Standard CFDA

Fiscal Year (Required)

☒ All Years

☐ 2015

☐ 2014

☐ 2013

FAC Release Date (MM/DD/YYYY)

From To

CFDA Number ⓘ

Prefix Extension Contains? ☐ ⓘ Add

Prefix	Extension	Contains?

Type of Entity (FAC Determined)

[select all](#) | [unselect all](#)

☐ State-Wide

☐ State-Dependent Airport Authority

☐ State-Dependent Hospital

☐ State-Dependent Housing Authority

☐ State-Dependent Institution of Higher Education

Direct Award

Name of Federal Agency

[select all](#) | [unselect all](#)

☐ 01 - African Development Foundation

☐ 23 - Appalachian Regional Commission

☐ 88 - Architectural & Transportation Barriers Compliance Board

☐ 13 - Central Intelligence Agency

☐ 29 - Commission on Civil Rights

From top to bottom and then from left to right for search filters on the same row, descriptions and operational instructions for each Search Audits by Standard CFDA search filter are provided below:

- **Fiscal Year (Required)** – Details concerning this filter are provided in [Section 6.1 General Information Search Filters](#).
- **FAC Release Date (MM/DD/YYYY)** – Details concerning this filter are provided in [Section 6.1 General Information Search Filters](#).
- **CFDA Number** – Details concerning this filter are provided in [Section 6.2 Federal Awards Search Filters](#).
- **Type of Entity (FAC Determined)** – This filter is optional and provides select all and unselect all functionality; use this filter to select one or more entity type.

- **Direct Award** – Details concerning this filter are provided in [Section 6.2 Federal Awards Search Filters](#).
- **Name of Federal Agency** – This filter is optional and provides select all and unselect all functionality; use this filter to select one or more federal agency; the federal agencies are listed in alphabetical order; please see [Appendix B FEDERAL AGENCY TWO-DIGIT PREFIX LIST](#) for the complete list of federal agencies as defined by OMB Circular A-133, sorted by CFDA number and sorted alphabetically.

Descriptions and operational instructions for the other controls on the Search Audits by Repeat Findings webpage are provided below:

- **Search** – click this button to submit your search query to FAC/IMS; a message “your search is in progress” may appear on the webpage while the search is being processed (Figure 8)

If the search returns more than 10,000 records, you must refine your search to reduce the number of records returned to 10,000 or less. For details, please see section [2.4 Maximum FAC/IMS Query Records Returned](#).

Details on how to download FAC/IMS specialized reports are provided in section [7.3 Downloading Specialized Reports](#).

- **Clear Search Filters** – click this button clear all Search Audits by Repeat Findings search filters except for Fiscal Year (Required), which will be set to its default setting of All Years.
- **Return to IMS Home** – clicking this button will result in the FAC/IMS home page being displayed (see Figure 4).

Details on how to download FAC/IMS specialized reports are provided in section [7.3 Downloading Specialized Reports](#).

[Remainder of this page left intentionally blank]

7.2 Search Audits by Standard Auditee

Click the Search by Standard Auditee link in the Specialized Reports landing page to navigate to the Search Audits by Standard Auditee page. Figure 22 provides a screenshot of this webpage.

Figure 22 – FAC/IMS Specialized Reports | Search Audits by Standard Auditee

Search Audits by Standard Auditee

Search Clear Search Filters Return to IMS Home

Fiscal Year (Required)

☒ All Years
☐ 2015
☐ 2014
☐ 2013

FAC Release Date (MM/DD/YYYY)

From

To

CFDA Number ⓘ

Prefix	Extension	Contains ?
<input type="text"/>	<input type="text"/>	<input type="text"/>

Add

Name of Federal Agency

[select all](#) | [unselect all](#)

☐ 01 - African Development Foundation
☐ 23 - Appalachian Regional Commission
☐ 88 - Architectural & Transportation Barriers Compliance Board
☐ 13 - Central Intelligence Agency
☐ 29 - Commission on Civil Rights

Auditee EIN ⓘ

↑

↓

Federal Award Findings

↓

Direct Award

↓

Statewide

↓

Search Clear Search Filters Return to IMS Home

From top to bottom and then from left to right for search filters on the same row, descriptions and operational instructions for each Search Audits by Standard Auditee search filter are provided below:

- **Fiscal Year (Required)** – Details concerning this filter are provided in [Section 6.1 General Information Search Filters](#).
- **FAC Release Date (MM/DD/YYYY)** – Details concerning this filter are provided in [Section 6.1 General Information Search Filters](#).
- **CFDA Number** – Details concerning this filter are provided in [Section 6.2 Federal Awards Search Filters](#).
- **Name of Federal Agency** – Details concerning this filter are provided in [Section 7.1 Search Audits by Standard CFDA](#).

- **Auditee EIN** – Details concerning this filter are provided in [Section 6.1 General Information Search Filters](#).
- **Federal Award Findings** – Details concerning this filter are provided in [Section 6.2 Federal Awards Search Filters](#).
- **Direct Award** – Details concerning this filter are provided in [Section 6.2 Federal Awards Search Filters](#).
- **Statewide** – This search filter is optional; set to Yes to find audit reports associated only with state-wide programs; set to No to find only audit reports that are not associated with state-wide programs; leave blank to search for audit reports regardless of their state-wide status.

Descriptions and operational instructions for the other controls on the Search Audits by Standard Auditee webpage are provided in [Section 7.1 Search Audits by Standard CFDA](#).

Details on how to download FAC/IMS specialized reports are provided in the following section.

7.3 Downloading Specialized Reports

After clicking a Search button on a specialized report webpage, a webpage similar to Figure 23 will be displayed.

Figure 23 – FAC/IMS Specialized Reports | Download Output Page

The screenshot displays the 'Federal Audit Clearinghouse Image Management System' interface. At the top, there is a navigation bar with links: 'Instruction Manual', 'Federal Agency Contacts', 'FAC IDDS', and 'FAC Home Page'. A 'Sign Out' button is located in the top right corner. The main content area features a light blue box with the message 'YOUR SEARCH FOUND 8 RECORD(S)'. Below this, the search criteria are listed: 'AUDIT FISCAL YEAR ENDING IN: ALL YEARS', 'FAC RELEASE DATE: 12/01/2014 TO 12/31/2014', 'DIRECT AWARD: N', 'CFDA NUMBERS:', 'NAME OF FEDERAL AGENCY: 23', and 'TYPES OF ENTITY:'. Below the criteria box, there are three buttons: 'Download Data File', 'Modify Search', and 'Return to IMS Home'. At the bottom of the page, a footer contains contact information: 'If you need assistance, please contact the Federal Audit Clearinghouse (FAC) via e-mail or call 1-800-253-0696.' and the version number 'Version: 0.15.0.0'.

From the specialized reports download output page, users have three options:

- **Download Data File** – click this button to download an Excel data file with detailed data regarding the audit reports returned by your specialized report search. After clicking the Download Data File button, a file Open/Save window (Figure 16), then a Save As window (Figure 17), and finally a Download Completed window (Figure 18) will be displayed in sequence to facilitate saving the Excel file.

The following table provides the worksheet names (in italics) found within in each specialized report Excel file and which appendix (with hyperlink) in this user manual contains data definitions for a given specialized report.

Table 1 – FAC/IMS | Specialized Reports Worksheet Names and Data Definition Locations

Object	Specialized Reports	
	Standard CFDA	Standard Auditee
Report Details	<i>Report Details</i>	<i>Detail</i>
Report Summary	<i>N/A</i>	<i>N/A</i>
Search Summary	<i>Search Summary</i>	<i>Search Summary</i>
Data Definitions	Appendix D	Appendix E

The Search Summary worksheet in each special report Excel file details the search criteria used to conduct the search, similar to the search criteria displayed in Figure 23 above.

- **Modify Search** – Click this button to return to the Specialized Reports filter input page you were previously using.
- **Return to IMS Home** – Click this button to return to the FAC/IMS home page, displayed in Figure 4.

[Remainder of this page left intentionally blank]

Appendix A FAC/IMS ACCOUNT MANAGEMENT

A.1 Creating a New IMS User Account

To gain access to the IMS application, users must complete a registration process. After registration, an approver from the user's agency must approve/deny their access. The user will also establish three security question/answers and generate a password. Each of these must occur before the user may log into IMS.

- Step 1: New user will access the following website:
<https://harvester.census.gov/facdissem/secure/default.aspx>.
- Step 2: User clicks **Register** – Figure 24. After clicking **Register**, the webpage shown in Figure 25 and Figure 26 is displayed.

Figure 24 – Obtaining a New User Account | Steps 1-2



Federal Audit Clearinghouse
Image Management System

Instruction Manual FAC IDDS FAC Home Page

****WARNING*WARNING*WARNING****
This is a Census Bureau computer system. Census Bureau computer systems are provided for the processing of official U.S. Government information only. All data contained within Census Bureau computer systems are owned by the Census Bureau and may be monitored, intercepted, recorded, read, copied, or captured in any manner, and disclosed in any manner by authorized personnel. **THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM.** System personnel may disclose any potential evidence of crime found on Census Bureau computer systems to appropriate authorities. **USE OF THIS SYSTEM BY ANY USER, AUTHORIZED OR UNAUTHORIZED, CONSTITUTES CONSENT TO MONITORING, INTERCEPTION, RECORDING, READING, COPYING, CAPTURING, AND DISCLOSURE OF COMPUTER ACTIVITY.** Use of this computer without authorization or for unauthorized purposes is a violation of federal law and punishable by fines or imprisonment (Public Law 99-474).
****WARNING*WARNING*WARNING** ONLY AUTHORIZED USERS MAY ACCESS THIS SYSTEM**

Enter Credentials

☐ I have read, understood, and agree to the Image Management Disclaimer

Username: Password:

[Forgot Password](#) | [Change Password](#) | [Update Security Questions](#)

Dont Have an Account?: [Register](#) **2**

If you need assistance, please contact the Federal Audit Clearinghouse (FAC) via [e-mail](#) or call 1-800-253-0696.

- Step 3: User enters **First Name** and **Last Name** – Figure 25.
- Step 4: User enters **E-Mail Address** and confirms e-mail address – Figure 25.
- Step 5: This step is optional. User enters the optional information as desired – Figure 25.

Figure 25 – Obtaining a New User Account | Steps 3-5

Federal Audit Clearinghouse
Image Management System

[Instruction Manual](#) [FAC IDDS](#) [FAC Home Page](#)

Image Management System

Registration Page

Instructions

Welcome to the Image Management System Site. From this page, you may register for a user account, or manage an existing user account.

Image Management System Registration

Please complete the required fields below.

After completing this form, you will receive an email confirmation. You must respond to this email to complete this registration process.

Please fill out all of the fields on this form as they are all required.

(*) Indicates a required field.

* First Name:

* Last Name:

By submitting this form, you agree to receive E-Mails at the following address.

* E-Mail Address:

* Confirm E-Mail:

Department/Region:

City: State: Zip:

Phone: (ext.)

[Remainder of this page left intentionally blank]

- Step 6: From the **Select an Agency** drop-down box, user selects their federal agency – Figure 26.
- Step 7: User re-enters **First Name**_(space)**Last Name**, as entered in Step 3 above, as **Signature**. See Figure 26.
- Step 8: User answers challenge question. Note: the challenge question displayed may be different than the challenge question shown in Figure 26.
- Step 9: User clicks the **Submit** button. See Figure 26. If the IMS Registration form is not filled out correctly, missing required data indicator(s) will be displayed as in Figure 27. If the IMS Registration form has been filled out correctly, the webpage shown in Figure 28 will be displayed after a five to ten second processing delay.

Figure 26 – Obtaining a New User Account | Steps 6-9

The screenshot shows a web form for obtaining a new user account. It includes a dropdown menu for selecting an agency, a signature field, a challenge question, and a submit button. Red arrows with numbers 6 through 9 point to the respective elements: 6 points to the 'Select an Agency' dropdown, 7 points to the 'Signature' field, 8 points to the challenge question, and 9 points to the 'Submit' button. A link to 'Return To Image Management System Site' is visible below the form. A footer bar contains contact information for the Federal Audit Clearinghouse (FAC).

* Select an Agency: **6**

I certify that all values entered on this application are true. Your typed name (as listed above) signifies your agreement.

* Signature: **7**

The following question is used to verify that this form is being submitted by a person and not an automated program.

* Which of the following is a state: paper, Texas or glass? **8**

9

[Return To Image Management System Site](#)

If you need assistance, please contact the Federal Audit Clearinghouse (FAC) via [e-mail](#) or call 1-800-253-0696.

[Remainder of this page left intentionally blank]

Figure 27 – Obtaining a New User Account | Step 9 | Missing Data Indicators

Federal Audit Clearinghouse
Image Management System

Instruction Manual FAC IDDS FAC Home Page

Image Management System

Registration Page

Instructions

Welcome to the Image Management System Site. From this page, you may register for a user account, or manage an existing user account.

Image Management System Registration

Please complete the required fields below.

After completing this form, you will receive an email confirmation. You must respond to this email to complete this registration process.

Please fill out all of the fields on this form as they are all required.

(*) Indicates a required field.

* First Name: This field is required.

* Last Name: This field is required.

By submitting this form, you agree to receive E-Mails at the following address.

* E-Mail Address: This field is required.

* Confirm E-Mail: This field is required.

Department/Region:

City: State: Zip:

Phone: (ext.)

Step 10: User clicks **Return To Image Management System Site** – Figure 28. After clicking this hyperlink, the FAC/IMS login page, as shown in Figure 24 above, will be displayed.

Figure 28 – Obtaining a New User Account | Step 10

Federal Audit Clearinghouse
Image Management System

Instruction Manual FAC IDDS FAC Home Page

Image Management System

Registration Page

Instructions

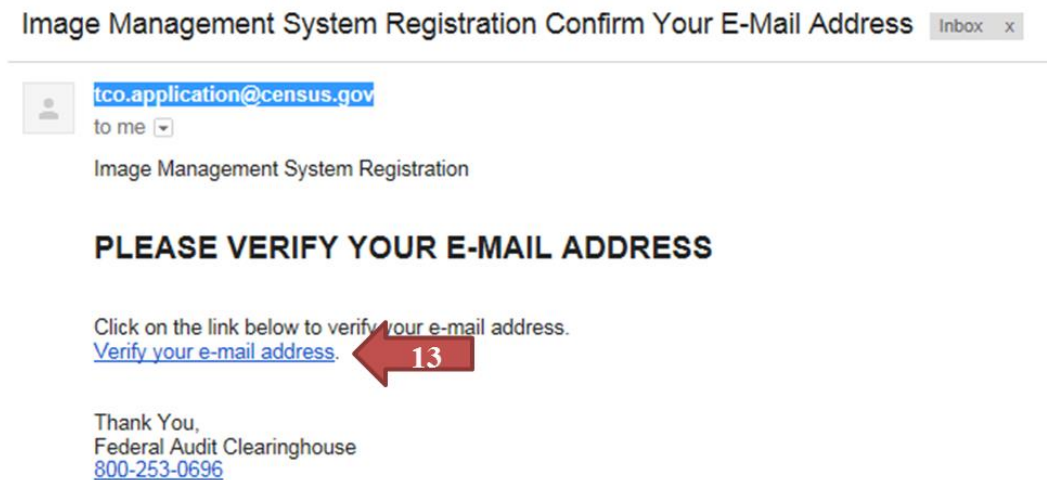
Welcome to the Image Management System Site. From this page, you may register for a user account, or manage an existing user account.

Image Management System Registration

[Return To Image Management System Site](#) **10**

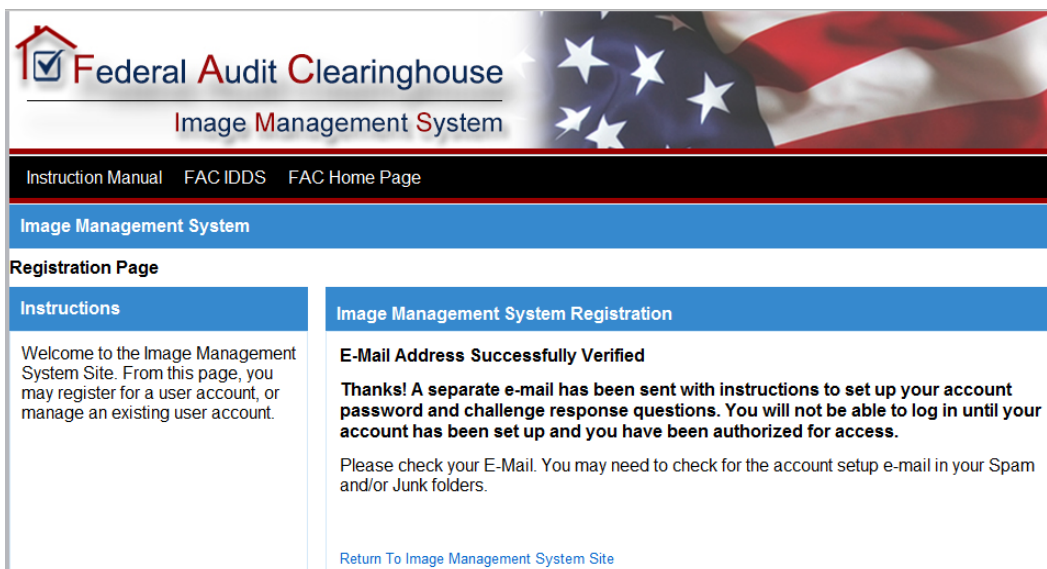
- Step 11: User opens e-mail application to access e-mail address entered in Step 4, above.
- Step 12: User opens e-mail with subject “Image Management System Registration Confirm Your E-Mail Address” sent from e-mail address tco.application@census.gov. See Figure 29 below.
- Step 13: User clicks the **Verify your e-mail address** hyperlink – Figure 29. After clicking **Verify your e-mail address**, the webpage shown in Figure 30 will be displayed.

Figure 29 – Obtaining a New User Account | Steps 11-13



- Step 14: Following the instructions on the confirmation screen in Figure 30, user navigates back to e-mail application to again access e-mail address entered in Step 4, above.

Figure 30 – Obtaining a New User Account | Step 14

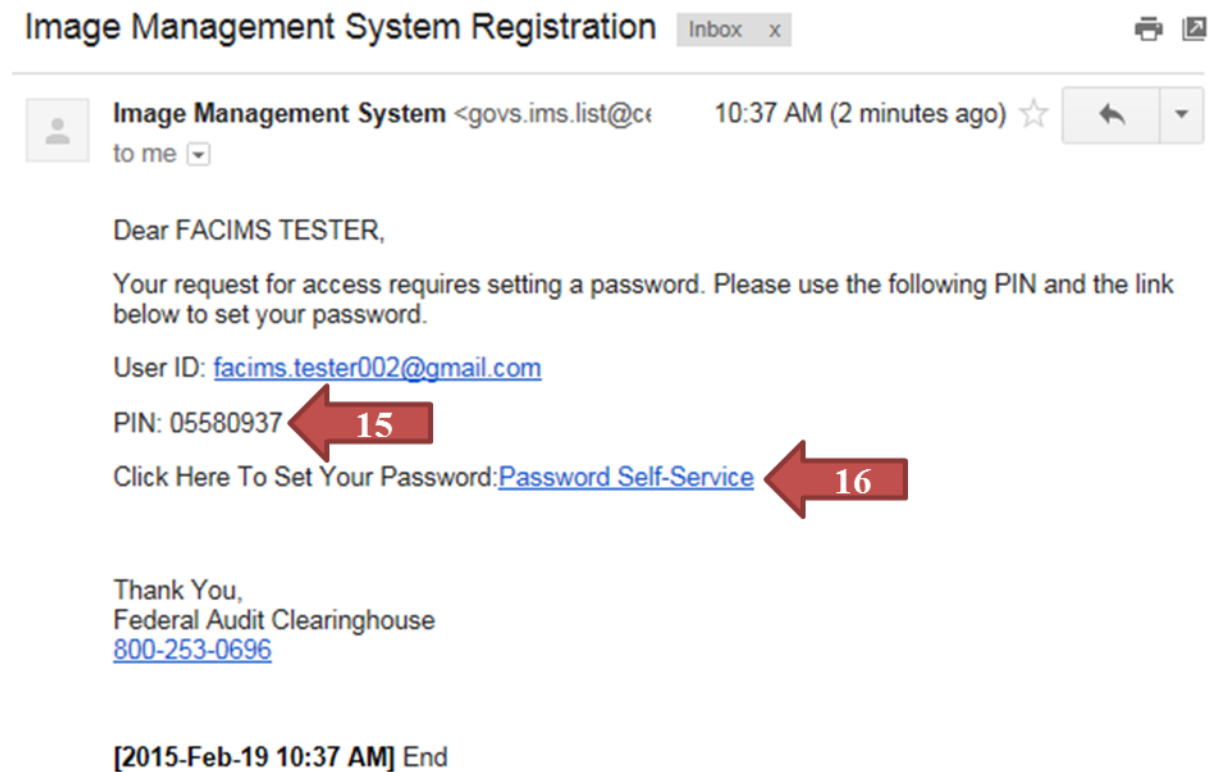


Step 15: User opens e-mail with subject “Image Management System Registration” sent from e-mail address govs.ims.list@census.gov. See Figure 31 below. It may be helpful to record the PIN provided in the e-mail, or copy it for later pasting in Step 19.

PIN: _____

Step 16: User clicks the **Password Self-Service** link as shown in Figure 31. The webpage shown in Figure 32 will be displayed.

Figure 31 – Obtaining a New User Account | Steps 15-16



[Remainder of this page left intentionally blank]

- Step 17: User enters email address in the text entry box labeled “**Enter Username**”. See Figure 32 below.
- Step 18: User clicks **Submit** – Figure 32. After clicking the **Submit** button, the webpage in Figure 33 will be displayed.

Figure 32 – Obtaining a New User Account | Steps 17-18

U.S. Department of Commerce | Blogs | Index A-Z | Glossary | FAQs

United States Census Bureau

Topics: Population, Economy | Geography: Maps, Geographic Data | Library: Infographics, Publications | Data: Tools, Developers | About the Bureau: Research, Surveys | Newsroom: News, Events, Blogs

Enterprise Password Self-Service

****WARNING**WARNING**WARNING****

This is a Census Bureau computer system. Census Bureau computer systems are provided for the processing of official U.S. Government information only. All data contained within Census Bureau computer systems are owned by the Census Bureau and may be monitored, intercepted, recorded, read, copied, or captured in any manner, and disclosed in any manner by authorized personnel. THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM. System personnel may disclose any potential evidence of crime found on Census Bureau computer systems to appropriate authorities. USE OF THIS SYSTEM BY ANY USER, AUTHORIZED OR UNAUTHORIZED, CONSTITUTES CONSENT TO MONITORING, INTERCEPTION, RECORDING, READING, COPYING, CAPTURING, AND DISCLOSURE OF COMPUTER ACTIVITY. Use of this computer without authorization or for unauthorized purposes is a violation of federal law and punishable by fines or imprisonment (Public Law 99-474).

****WARNING**WARNING**WARNING** ONLY AUTHORIZED USERS MAY ACCESS THIS SYSTEM**

Pin Account Recovery

Enter Username

18 **Submit** **17**

[Go Back](#)

[Help](#)

- Step 19: User enters PIN copied or recorded in Step 15 above into the text entry box labelled “PIN”. Please note the PIN entry will be masked. See Figure 33 below.
- Step 20: User clicks **Submit** – Figure 33 below. Figure 34 will then be displayed.

Figure 33 – Obtaining a New User Account | Steps 19-20

U.S. Department of Commerce | Blogs | Index A-Z | Glossary | FAQs

United States Census Bureau

Topics: Population, Economy | Geography: Maps, Geographic Data | Library: Infographics, Publications | Data: Tools, Developers | About the Bureau: Research, Surveys | Newsroom: News, Events, Blogs

Enterprise Password Self-Service

Enter Password - Pin Account Recovery

PIN

20 **Submit** **19**

[Go Back](#)

[Help](#)

Step 21: User clicks **Next** – Figure 34. Figure 35 will then be displayed.

Figure 34 – Obtaining a New User Account | Step 21

The screenshot shows the United States Census Bureau website. The top navigation bar includes links for Topics, Geography, Library, Data, About the Bureau, and Newsroom. Below this is a blue banner for "Enterprise Password Self-Service". The main content area has a heading "Challenge Profile Change" and a message: "The security question requirements have changed or this is your first time accessing this system. You must now update your profile by selecting new security questions and providing your secret answers. After updating your security questions, you will be able to update your password." At the bottom of the message area is a "Next" button, which is highlighted with a red arrow and the number 21. There is also a "Go Back" link and a "Help" link at the bottom left.

Step 22: User selects and answers three security questions – Figure 35. As an alternative to selecting a pre-existing question from the first drop-down box, the user may type in a question. This option is not available for the second and third security questions. Note: the security answers are not masked during entry.

Step 23: User clicks **Submit** – Figure 35. After clicking **Submit**, the webpage shown in Figure 36 will be displayed.

Figure 35 – Obtaining a New User Account | Steps 22-23

The screenshot shows the United States Census Bureau website. The top navigation bar includes links for Topics, Geography, Library, Data, About the Bureau, and Newsroom. Below this is a blue banner for "Enterprise Password Self-Service". The main content area has a heading "Create/Update your security profile by selecting and answering the following different questions". Below this is a note: "Note: Questions And Answers Must be Unique. Answers are not case sensitive. Your answers must be unique and have a minimum of four characters." The form consists of three rows, each with a drop-down menu and a text input field. The first row has a "Choose Or Type A Question" label. The second and third rows have "Choose A Question" labels. A red bracket groups the three rows, with a red arrow and the number 22 pointing to it. At the bottom of the form is a "Submit" button, which is highlighted with a red arrow and the number 23. There is also a "Go Back" link and a "Help" link at the bottom left.

Step 24: User clicks **Next** – Figure 36. After clicking **Next**, the webpage shown in Figure 37 will be displayed.

Figure 36 – Obtaining a New User Account | Step 24

The screenshot shows the United States Census Bureau website header with navigation links: Topics (Population, Economy), Geography (Maps, Geographic Data), Library (Infographics, Publications), Data (Tools, Developers), About the Bureau (Research, Surveys), and Newsroom (News, Events, Blogs). Below the header is a blue bar labeled "Enterprise Password Self-Service". The main content area has a blue bar labeled "Security Questions Updated". The text in the center reads: "Your Security Questions have been updated to match the current policy requirements. You may now set a new password." At the bottom of the content area, there is a "Next" button and a red arrow pointing to it with the number "24". A "Go Back" link is on the left, and a "Help" link is at the bottom left.

Step 25: User enters new password and confirms password – Figure 37 below. Note passwords are masked as they are entered.

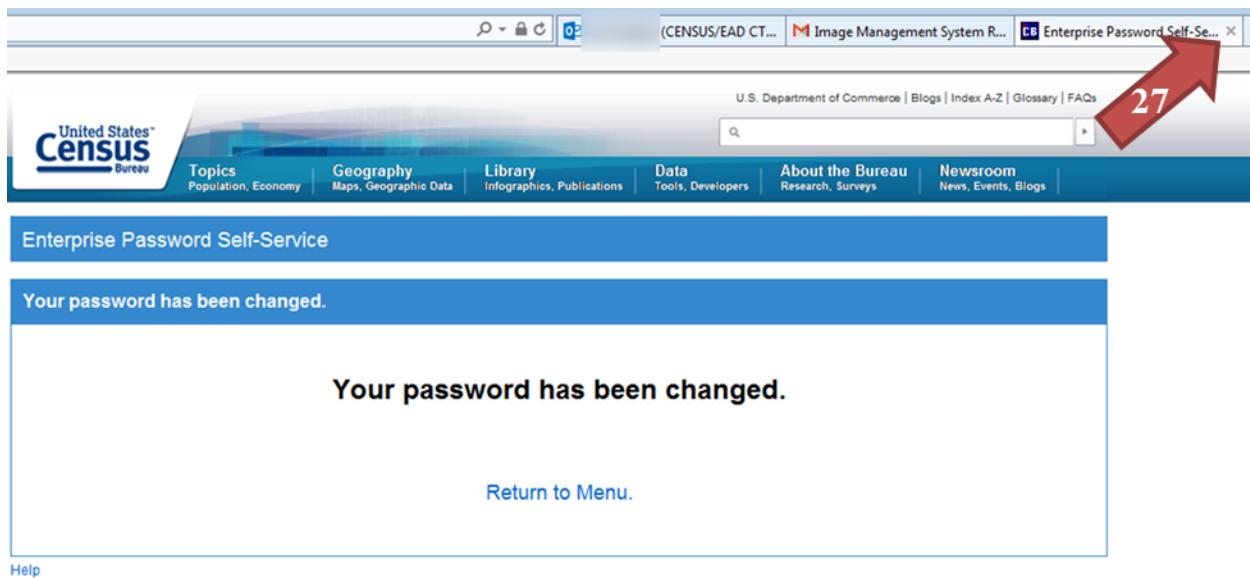
Step 26: User clicks **Submit** – Figure 37. After clicking **Submit**, the webpage shown in Figure 38 will be displayed.

Figure 37 – Obtaining a New User Account | Steps 25-26

The screenshot shows the United States Census Bureau website header with navigation links: Topics (Population, Economy), Geography (Maps, Geographic Data), Library (Infographics, Publications), Data (Tools, Developers), About the Bureau (Research, Surveys), and Newsroom (News, Events, Blogs). Below the header is a blue bar labeled "Enterprise Password Self-Service". The main content area has a blue bar labeled "Forgot Password - Change Your Password". The text in the center reads: "Bureau of the Census Password Policy". Below this, there is a list of password requirements: "Passwords must contain at least twelve (12) non-blank characters;", "Characters must meet at least three (3) of the following four (4) categories:", "English upper-case characters (A-Z);", "English lower-case characters (a-z);", "Base 10 digits (0-9);", "Non-Alphanumeric (ex., !, \$, #)", "At least one character must be changed when new passwords are created;", and "Passwords cannot contain your account name, your first name, or your last name." Below the requirements, there are two input fields: "New Password" and "Confirm Password", both masked with dots. A red arrow points to the "New Password" field with the number "25". Below the input fields, there is a "Submit" button and a red arrow pointing to it with the number "26". A "Go Back" link is on the left, and a "Help" link is at the bottom left.

Step 27: User closes the Password Self-Service webpage; see Figure 38.

Figure 38 – Obtaining a New User Account | Step 27



Step 28: **Note: At this point, the new user account is not yet active. To become fully active, the user account must first be approved by the appropriate federal agency approver.**

After approval of a new account by the agency approver, an e-mail is sent notifying the user that his or her account has been approved and is ready for use. An example of this notification e-mail is displayed in Figure 47.

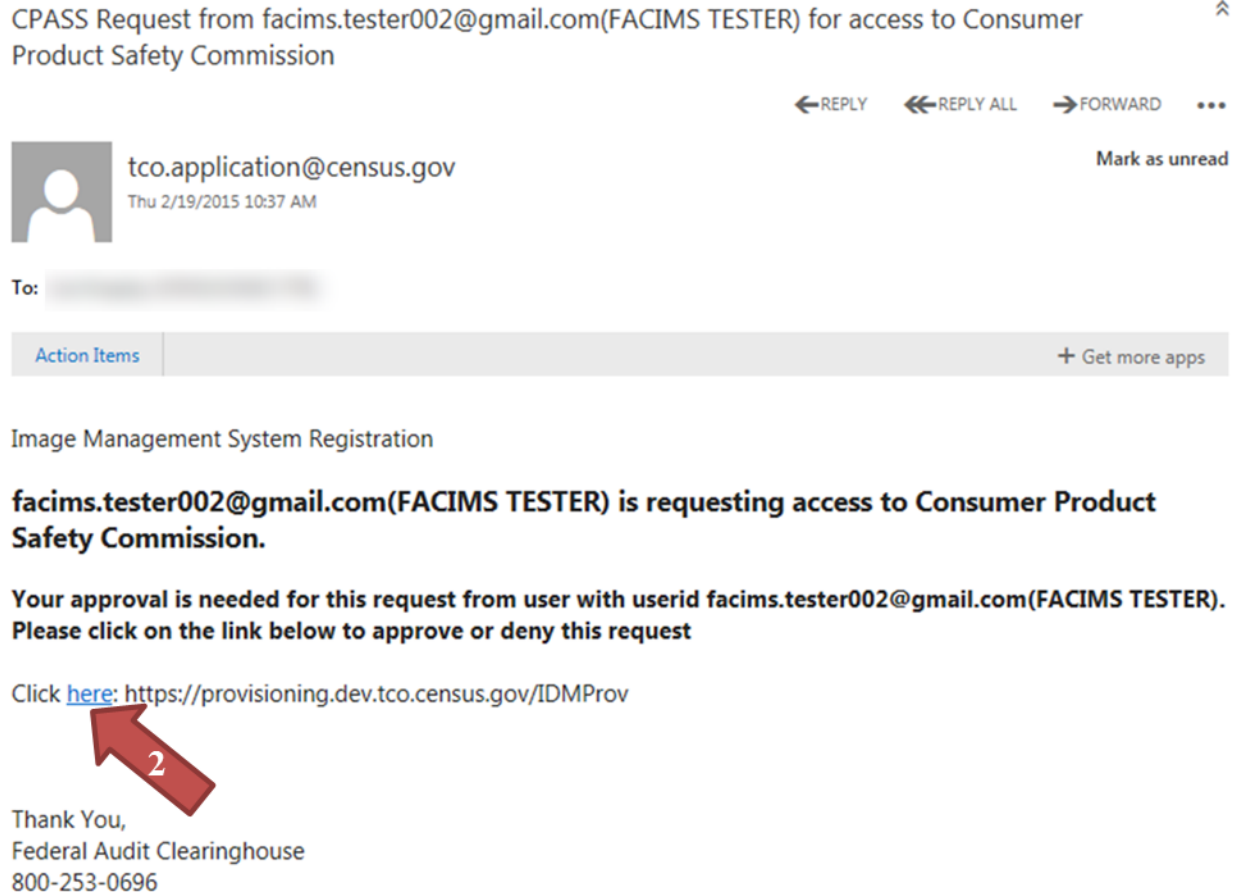
[Remainder of this page left intentionally blank]

A.2 Approving a New IMS User Account

After a user has submitted a request for a new account, an email is automatically generated, notifying the appropriate agency approver that the user is ready for his or her approval (or denial). The process required to approve a new user account is described in the following steps:

- Step 1: Agency approver opens e-mail with subject: CPASS Request from <User E-Mail Address> for access to <Agency Requested>. This e-mail will be sent from tco.application@census.gov.
- Step 2: Agency approver clicks the **here** hyperlink – Figure 39. After clicking the **here** hyperlink, the web page shown in Figure 40 below will be displayed.

Figure 39 – Approving a New User Account | Steps 1-2



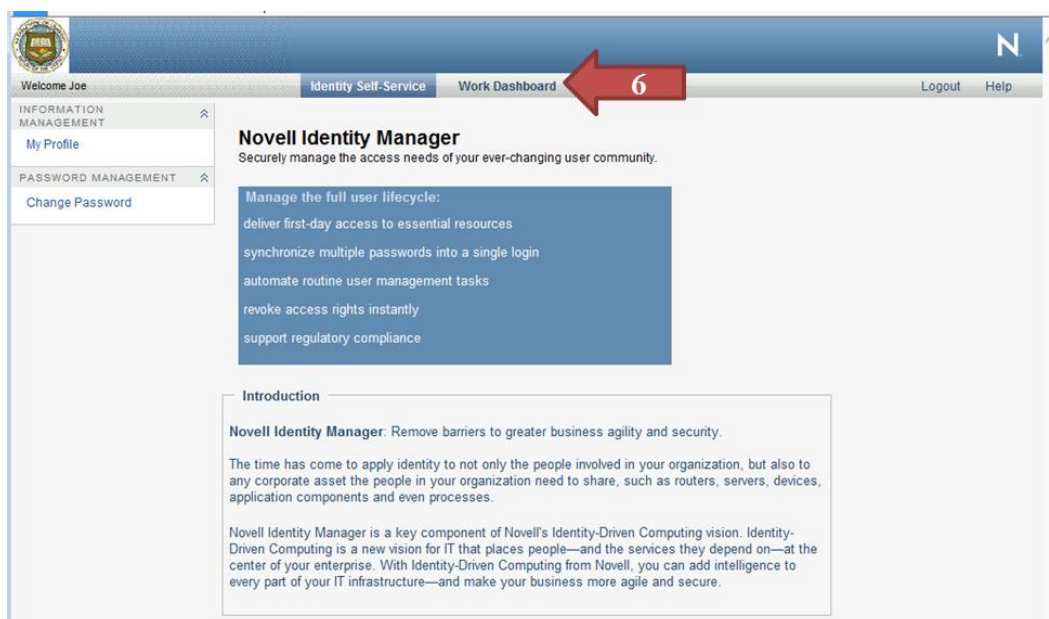
- Step 3: Agency approver enters their email address – Figure 40.
- Step 4: Agency approver enters their IMS password – Figure 40.
- Step 5: Agency approver clicks **Login** – Figure 40. After clicking **Login**, the webpage shown in Figure 41 will be displayed.

Figure 40 – Approving a New User Account | Steps 3-5

The screenshot shows the U.S. Census Bureau login page. At the top is the U.S. Census Bureau logo and the text "U.S. Census Bureau". Below this is a warning message: "**WARNING**". The main body of the page contains a disclaimer about the system being for official U.S. Government information only. Below the disclaimer are two input fields: "Username:" and "Password:". A red arrow labeled "3" points to the "Username:" field. A red arrow labeled "4" points to the "Password:" field. Below the input fields is a link for "Forgot Password?". At the bottom right is a "Login" button, with a red arrow labeled "5" pointing to it.

- Step 6: Agency approver clicks **Work Dashboard** – Figure 41. Webpage shown in Figure 42 will be displayed.

Figure 41 – Approving a New User Account | Step 6



Step 7: Agency approver clicks **Approval** – Figure 42. The webpage will reload as shown in Figure 43.

Figure 42 – Approving a New User Account | Step 7

<Federal Agency Approver's Picture, if available>

<Federal Agency Approver's Name>
<Federal Agency Approver's E-Mail Address>

Settings

Task	Request	Recipient	Request Date	Comments
Approval	CPASS-2ApproveGroup	idm admin	02/19/2015 10:37:04 AM	

1 - 1 of 1

Resource Assignments

Role Assignments

Request Status

Step 8: Agency approver clicks **Claim** – Figure 43. Webpage will reload as shown in Figure 44.

Figure 43 – Approving a New User Account | Step 8

Task Notifications

Refresh | Customize...

Filter | Rows: 25

Task	Request	Recipient	Request Date	Comments
Approval	CPASS-2ApproveGroup	idm admin	02/19/2015 10:37:04 AM	

Approval

Request Name: CPASS-2ApproveGroup

Recipient: idm admin

Requested By: idm admin

In Queue since: 02/19/2015 10:37:04 AM

Timeout on: 02/26/2015 10:37:04 AM

Assigned To: Consumer Product Safety Commission Approvers Group

Claimed By:

Comment and Flow History

Claim Release Close

Form Detail

* - indicates required.

Approval of CPASS Access Request

Please select the appropriate button to approve or reject the request.

Requesting User Information:

Full Name: FACIMS TESTER

UID or JBID: facims.test002@gmail.com

Email: facims.test002@gmail.com

Position:

description:

Company:

Telephone:

City:

Message: [Access to Census Resources: 87 Consumer Product Safety Commission](#)

Reason:

View Comment History

- Step 9: Agency approver reviews the “Requesting User Information” and, if appropriate, clicks **Approve** – Figure 44. Note: the approver should not approve the request if he/she is not expecting the request or if he/she does not recognize the e-mail address of the requestor. After clicking **Approve**, the webpage will reload as shown in Figure 45.

Figure 44 – Approving a New User Account | Step 9

Task Notifications

Refresh | Customize...

Filter | Rows: 25

Task	Request	Recipient	Request Date
Approval	CPASS-2ApproveGroup	idm admin	02/19/2015 10:37:04 AM

Approval

Request Name: CPASS-2ApproveGroup

Recipient: idm admin

Requested By: idm admin

In Queue since: 02/19/2015 10:37:04 AM

Timeout on: 02/26/2015 10:37:04 AM

Assigned To: Consumer Product Safety Commission Approvers Group

Claimed By: [checked]

Comment and Flow History

Claim Release Close

Form Detail

* - indicates required.

Approval of CPASS Access Request

Please select the appropriate button to approve or reject the request.

Requesting User Information:

Full Name: FACIMS TESTER

UID or JBIID: facims.test002@gmail.com

Email: facims.test002@gmail.com

Position: description:

Company:

Telephone:

City:

Message: Access to Census Resources: 87_Consumer_Product_Safety_Commission

Reason:

View Comment History

Deny Approve

- Step 10: Agency approver clicks **Close** – Figure 45. The webpage will reload as shown in Figure 46.

Figure 45 – Approving a New User Account | Step 10 | Click Close Button

Task Notifications

Refresh | Customize...

Filter | Rows: 25

Task	Request	Recipient	Request Date
Approval	CPASS-2ApproveGroup	idm admin	02/19/2015 10:37:04 AM

Approval

Request Name: CPASS-2ApproveGroup

Recipient: idm admin

Requested By: idm admin

In Queue since: 02/19/2015 10:37:04 AM

Timeout on: 02/26/2015 10:37:04 AM

Assigned To: Consumer Product Safety Commission Approvers Group

Claimed By: [checked]

Comment and Flow History

Claim Release Close

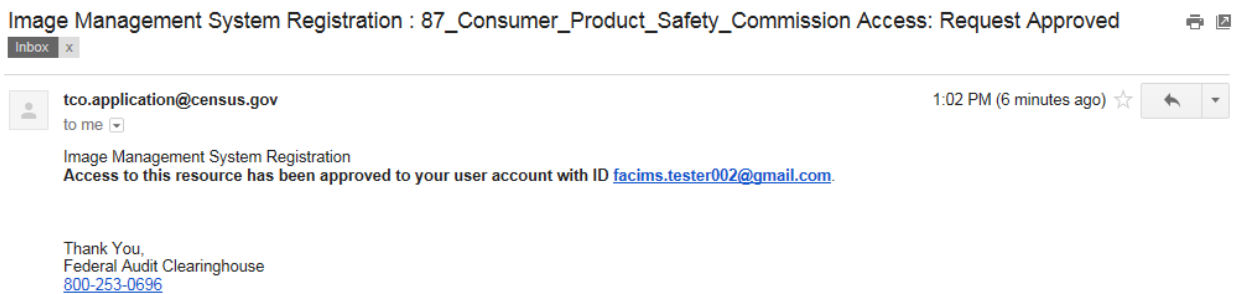
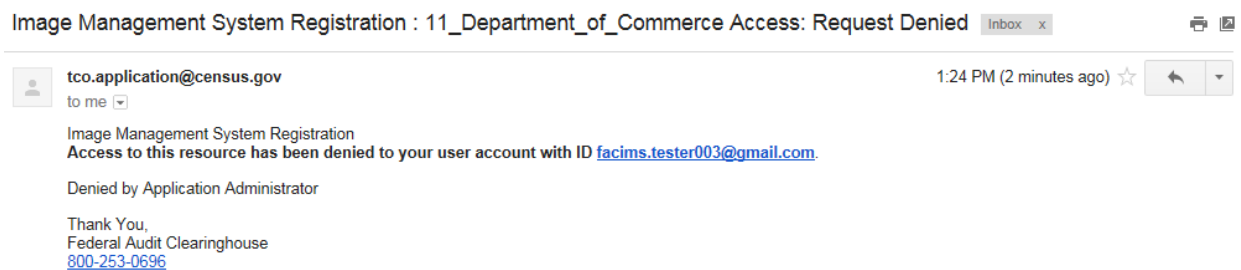
Form Detail

* - indicates required.

Submission was successful. Your task has been completed.

Figure 46 – Approving a New User Account | Step 10 | After Clicking Close Button

Step 11: After approval of a new account request by the agency approver, an e-mail is automatically sent, notifying the requesting user that his or her account has been approved and is ready for use. An example of this notification e-mail is displayed in Figure 47 below. An example of a denial notification email is displayed in Figure 48.

Figure 47 – Approving a New User Account | Step 11**Figure 48 – Denying a New User Account | Step 11**

A.3 Resetting a Forgotten Password

- Step 1: User accesses the IMS login website:
<https://harvester.census.gov/facdissem/secure/default.aspx>.
- Step 2: User clicks **Forgot Password** – Figure 49. Figure 50 is then displayed.

Figure 49 – Resetting a Forgotten Password | Steps 1-2

Federal Audit Clearinghouse
Image Management System

Instruction Manual FAC.IDDS FAC Home Page

****WARNING**WARNING**WARNING****

This is a Census Bureau computer system. Census Bureau computer systems are provided for the processing of official U.S. Government information only. All data contained within Census Bureau computer systems are owned by the Census Bureau and may be monitored, intercepted, recorded, read, copied, or captured in any manner, and disclosed in any manner by authorized personnel. **THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM.** System personnel may disclose any potential evidence of crime found on Census Bureau computer systems to appropriate authorities. **USE OF THIS SYSTEM BY ANY USER, AUTHORIZED OR UNAUTHORIZED, CONSTITUTES CONSENT TO MONITORING, INTERCEPTION, RECORDING, READING, COPYING, CAPTURING, AND DISCLOSURE OF COMPUTER ACTIVITY.** Use of this computer without authorization or for unauthorized purposes is a violation of federal law and punishable by fines or imprisonment (Public Law 99-474).

****WARNING**WARNING**WARNING** ONLY AUTHORIZED USERS MAY ACCESS THIS SYSTEM**

Enter Credentials

☐ I have read, understood, and agree to the Image Management Disclaimer

Username: Password:

[Forgot Password](#) [Forgot Password](#) | [Update Security Questions](#)

[Don't Have an Account?: Register](#)

If you need assistance, please contact the Federal Audit Clearinghouse (FAC) via [e-mail](#) or call 1-800-253-0696.

- Step 3: User enters email address in the text entry box labeled “**Enter Username**”. See Figure 50 below.
- Step 4: User clicks **Submit** – Figure 50. After clicking **Submit**, Figure 51 is displayed.

Figure 50 – Resetting a Forgotten Password | Steps 3-4

U.S. Department of Commerce | Blogs | Index A-Z | Glossary | FAQs

United States Census Bureau

Topics: Population, Economy | Geography: Maps, Geographic Data | Library: Infographics, Publications | Data: Tools, Developers | About the Bureau: Research, Surveys | Newsroom: News, Events, Blogs

Enterprise Password Self-Service

****WARNING**WARNING**WARNING****

This is a Census Bureau computer system. Census Bureau computer systems are provided for the processing of official U.S. Government information only. All data contained within Census Bureau computer systems are owned by the Census Bureau and may be monitored, intercepted, recorded, read, copied, or captured in any manner, and disclosed in any manner by authorized personnel. **THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM.** System personnel may disclose any potential evidence of crime found on Census Bureau computer systems to appropriate authorities. **USE OF THIS SYSTEM BY ANY USER, AUTHORIZED OR UNAUTHORIZED, CONSTITUTES CONSENT TO MONITORING, INTERCEPTION, RECORDING, READING, COPYING, CAPTURING, AND DISCLOSURE OF COMPUTER ACTIVITY.** Use of this computer without authorization or for unauthorized purposes is a violation of federal law and punishable by fines or imprisonment (Public Law 99-474).

****WARNING**WARNING**WARNING** ONLY AUTHORIZED USERS MAY ACCESS THIS SYSTEM**

Pin Account Recovery

Enter Username:

[Go Back](#)

- Step 5: User enters the answer to the security question displayed in the text entry box to the right of the security question – Figure 51. Please note the answer will be masked as it is entered.
- Step 6: User clicks **Submit** – Figure 51. After clicking **Submit**, Figure 52 will be displayed.

Figure 51 – Resetting a Forgotten Password | Steps 5-6

The screenshot shows the 'Enterprise Password Self-Service' interface. A blue header bar contains the text 'Enterprise Password Self-Service'. Below it, a blue bar with white text reads 'To confirm your identity, please answer the following questions from your profile.' The main content area has a light blue background. It features a security question 'What is your favorite song?' on the left. To the right of the question is a text input field. Above the input field is a note: 'Note: Security Question Answers are not case sensitive'. A red arrow labeled '5' points to the input field. Below the question and input field are two buttons: 'Submit' and 'Go Back'. A red arrow labeled '6' points to the 'Submit' button. At the bottom left, there is a 'Help' link.

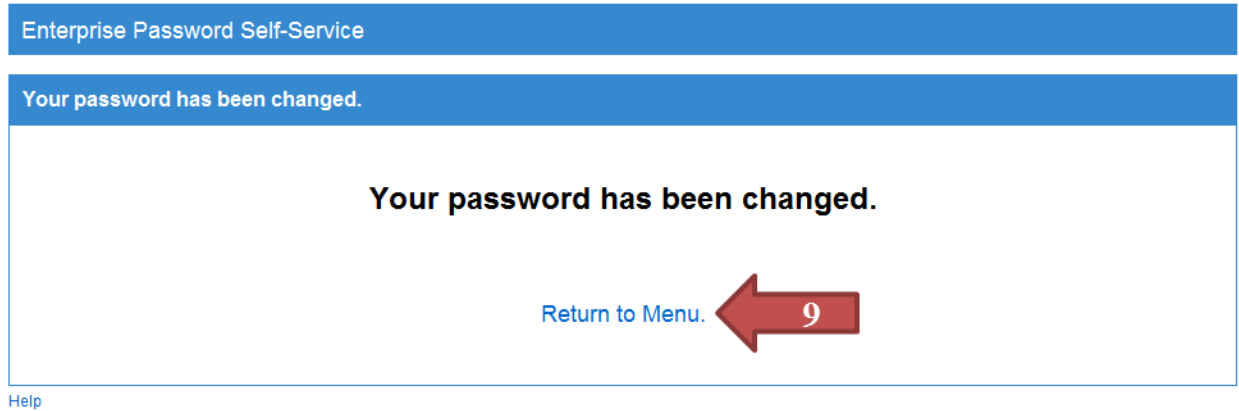
- Step 7: Following the password rules displayed, user enters a new password and confirms the new password – Figure 52. Please note passwords are masked as they are entered.
- Step 8: User clicks **Submit** – Figure 52. After clicking **Submit**, Figure 53 will be displayed.

Figure 52 – Resetting a Forgotten Password | Steps 7-8

The screenshot shows the 'Enterprise Password Self-Service' interface for the 'Forgot Password - Change Your Password' section. A blue header bar contains the text 'Enterprise Password Self-Service'. Below it, a blue bar with white text reads 'Forgot Password - Change Your Password'. The main content area has a light blue background. It features a section titled 'Bureau of the Census Password Policy' with a list of password requirements: 'Passwords must contain at least twelve (12) non-blank characters;', 'Characters must meet at least three (3) of the following four (4) categories:' (with sub-bullets for English upper-case characters (A-Z), English lower-case characters (a-z), Base 10 digits (0-9), and Non-Alphanumeric (ex., !, \$, #)), 'At least one character must be changed when new passwords are created;', and 'Passwords cannot contain your account name, your first name, or your last name.' Below the policy list are two text input fields: 'New Password' and 'Confirm Password'. A red arrow labeled '7' points to the 'New Password' field. Below the input fields are two buttons: 'Submit' and 'Go Back'. A red arrow labeled '8' points to the 'Submit' button. At the bottom left, there is a 'Help' link.

Step 9: The password has been updated. User clicks **Return to Menu** to return to the FAC/IMS login screen. See Figure 53.

Figure 53 – Resetting a Forgotten Password | Step 9



[Remainder of this page left intentionally blank]

A.4 Resetting a Known Password

- Step 1: User accesses the IMS login website:
<https://harvester.census.gov/facdissem/secure/default.aspx>.
- Step 2: User clicks **Change Password** – Figure 54. Figure 55 is then displayed.

Figure 54 – Resetting a Known Password | Steps 1-2

- Step 3: User enters email address in the text entry box labeled “**Enter Username**”. See Figure 55 below.
- Step 4: User clicks **Submit** – Figure 55. After clicking **Submit**, Figure 56 is displayed.

Figure 55 – Resetting a Known Password | Steps 3-4

- Step 5: User enters current FAC/IMS password. Please note the password will be masked as it is entered. See Figure 56.
- Step 6: User enters and confirms a new password. Please note these passwords will be masked as they are entered. See Figure 56.
- Step 7: User clicks **Submit** (Figure 56). After clicking **Submit**, Figure 57 will be displayed.

Figure 56 – Resetting a Known Password | Steps 5-7

Enterprise Password Self-Service

Change Your Password - Enter Your New Password

Bureau of the Census Password Policy

- Passwords must contain at least twelve (12) non-blank characters;
- Characters must meet at least three (3) of the following four (4) categories:
 - English upper-case characters (A-Z);
 - English lower-case characters (a-z);
 - Base 10 digits (0-9);
 - Non-Alphanumeric (ex., !, \$, #)
- At least one character must be changed when new passwords are created;
- Passwords cannot contain your account name, your first name, or your last name.

Current Password

New Password

Confirm Password

[Go Back](#)

- Step 8: The password has been updated. User clicks **Return to Menu** to return to the FAC/IMS login screen. See Figure 57.

Figure 57 – Resetting a Known Password | Step 8

Enterprise Password Self-Service

Your password has been changed.

Your password has been changed.

[Return to Menu.](#)

[Help](#)

A.5 Resetting FAC/IMS Security Questions

- Step 1: User accesses the IMS login website:
<https://harvester.census.gov/facdissem/secure/default.aspx>.
- Step 2: User clicks **Update Security Questions** – Figure 58. Figure 59 is then displayed.

Figure 58 – Resetting Security Questions | Steps 1-2

Federal Audit Clearinghouse
Image Management System

Instruction Manual | FAC IDDS | FAC Home Page

****WARNING**WARNING**WARNING****
 This is a Census Bureau computer system. Census Bureau computer systems are provided for the processing of official U.S. Government information only. All data contained within Census Bureau computer systems are owned by the Census Bureau and may be monitored, intercepted, recorded, read, copied, or captured in any manner, and disclosed in any manner by authorized personnel. **THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM.** System personnel may disclose any potential evidence of crime found on Census Bureau computer systems to appropriate authorities. **USE OF THIS SYSTEM BY ANY USER, AUTHORIZED OR UNAUTHORIZED, CONSTITUTES CONSENT TO MONITORING, INTERCEPTION, RECORDING, READING, COPYING, CAPTURING, AND DISCLOSURE OF COMPUTER ACTIVITY.** Use of this computer without authorization or for unauthorized purposes is a violation of federal law and punishable by fines or imprisonment (Public Law 99-474).
****WARNING**WARNING**WARNING** ONLY AUTHORIZED USERS MAY ACCESS THIS SYSTEM**

Enter Credentials

☐ I have read, understood, and agree to the [Image Management Disclaimer](#)

Username: Password: [Sign In](#)

[Forgot Password](#) | [Change Password](#) | [Update Security Questions](#)

[Don't Have an Account?: Register](#)

If you need assistance, please contact the Federal Audit Clearinghouse (FAC) via [e-mail](#) or call 1-800-253-0696.

- Step 3: User enters email address in the text entry box labeled “**Enter Username**”. See Figure 59 below.
- Step 4: User clicks **Submit** – Figure 59. After clicking **Submit**, Figure 60 is displayed.

Figure 59 – Resetting Security Questions | Steps 3-4

U.S. Department of Commerce | [Blogs](#) | [Index A-Z](#) | [Glossary](#) | [FAQs](#)

United States Census Bureau

[Topics](#) | [Geography](#) | [Library](#) | [Data](#) | [About the Bureau](#) | [Newsroom](#)
 Population, Economy | Maps, Geographic Data | Infographics, Publications | Tools, Developers | Research, Surveys | News, Events, Blogs

Enterprise Password Self-Service

****WARNING**WARNING**WARNING****
 This is a Census Bureau computer system. Census Bureau computer systems are provided for the processing of official U.S. Government information only. All data contained within Census Bureau computer systems are owned by the Census Bureau and may be monitored, intercepted, recorded, read, copied, or captured in any manner, and disclosed in any manner by authorized personnel. **THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM.** System personnel may disclose any potential evidence of crime found on Census Bureau computer systems to appropriate authorities. **USE OF THIS SYSTEM BY ANY USER, AUTHORIZED OR UNAUTHORIZED, CONSTITUTES CONSENT TO MONITORING, INTERCEPTION, RECORDING, READING, COPYING, CAPTURING, AND DISCLOSURE OF COMPUTER ACTIVITY.** Use of this computer without authorization or for unauthorized purposes is a violation of federal law and punishable by fines or imprisonment (Public Law 99-474).
****WARNING**WARNING**WARNING** ONLY AUTHORIZED USERS MAY ACCESS THIS SYSTEM**

Pin Account Recovery

Enter Username:

[Go Back](#)

- Step 5: User enters FAC/IMS password in the text entry box labeled “**Password**”. See Figure 60 below.
- Step 6: User clicks **Submit** – Figure 60. After clicking **Submit**, Figure 61 is displayed.

Figure 60 – Resetting Security Questions | Steps 5-6

Enterprise Password Self-Service

Enter Password - Update Security Questions

Password

[Submit](#) [Go Back](#) [Help](#)

- Step 7: User selects and answers three security questions. As an alternative to selecting a pre-existing question from the first drop-down box, a question may be typed. This option is not available for the second and third security questions. Please note the security answers are not masked during entry. See Figure 61 below.
- Step 8: User clicks **Submit** – Figure 61. After clicking **Submit**, Figure 62 is displayed.

Figure 61 – Resetting Security Questions | Steps 7-8

United States Census Bureau

U.S. Department of Commerce | Blogs | Index A-Z | Glossary | FAQs

Topics: Population, Economy | Geography: Maps, Geographic Data | Library: Infographics, Publications | Data: Tools, Developers | About the Bureau: Research, Surveys | Newsroom: News, Events, Blogs

Enterprise Password Self-Service

Create/Update your security profile by selecting and answering the following different questions

Note: Questions And Answers Must be Unique. Answers are not case sensitive. Your answers must be unique and have a minimum of four characters.

Choose Or Type A Question

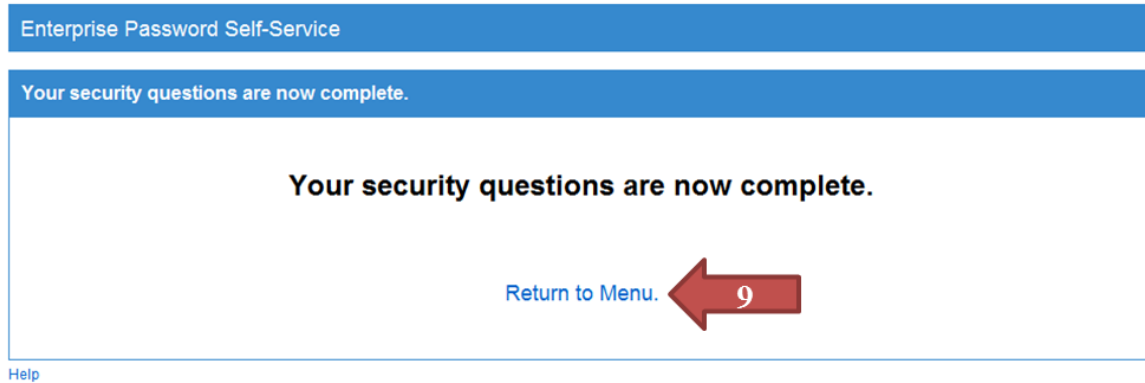
Choose A Question

Choose A Question

[Submit](#) [Go Back](#)

Step 9: The security questions have been updated. User clicks **Return to Menu** to return to the FAC/IMS login screen. See Figure 62.

Figure 62 – Resetting Security Questions | Step 9



[Remainder of this page left intentionally blank]

A.6 Disabling/Re-Enabling FAC/IMS Accounts

IMS automatically disables accounts after 30 days of inactivity.

Accounts can also be disabled or deleted manually by special request at any time as needed, using a defined workflow. The workflow process for account disablement or deletion by request is for the federal agency approver to submit a written request to ERD.FAC@Census.Gov with a list of users to be disabled or deleted. This process will be completed on an as-needed, workflow basis.

To re-enable a disabled account, the federal agency approver will submit a written request to ERD.FAC@Census.Gov with a list of users to be re-enabled. This process will be completed on an as-needed, workflow basis.

To re-enable a *deleted* account, the user will be required to complete the registration and approval processes again. See [A.1 Creating a New IMS User Account](#) and [A.2 Approving a New IMS User Account](#) for registration and approval instructions.

[Remainder of this page left intentionally blank]

Appendix B FEDERAL AGENCY TWO-DIGIT PREFIX LIST

The following table lists the federal agency two-digit prefixes as defined by OMB Circular A-133 in numerical order. Those agencies not assigned by CFDA are indicated by “N” in the right-most column and are highlighted in light yellow; these prefixes are used for OMB Circular A-133 reporting purposes only.

Table 2 – Federal Agency Two-Digit Prefixes (Numerical Order)

Two-Digit Prefix	Federal Agency	Assigned by CFDA?
01	African Development Foundation	N
03	Institute of Museum and Library Services	N
04	Inter-American Foundation	N
05	National Endowment for the Arts	N
06	National Endowment for the Humanities	N
07	Office of National Drug Control Policy	N
08	Peace Corps	N
09	Legal Services Corporation	N
10	Department of Agriculture	Y
11	Department of Commerce	Y
12	Department of Defense	Y
13	Central Intelligence Agency	Y
14	Department of Housing and Urban Development	Y
15	Department of the Interior	Y
16	Department of Justice	Y
17	Department of Labor	Y
18	Federal Reserve System	Y
19	Department of State	Y
20	Department of Transportation	Y
21	Department of the Treasury	Y
23	Appalachian Regional Commission	Y
27	Office of Personnel Management	Y
29	Commission on Civil Rights	Y
30	Equal Employment Opportunity Commission	Y
32	Federal Communications Commission	Y
33	Federal Maritime Commission	Y
34	Federal Mediation and Conciliation Service	Y

Two-Digit Prefix	Federal Agency	Assigned by CFDA?
36	Federal Trade Commission	Y
39	General Services Administration	Y
40	Government Printing Office	Y
42	Library of Congress	Y
43	National Aeronautics & Space Administration	Y
44	National Credit Union Administration	Y
46	National Labor Relations Board	Y
47	National Science Foundation	Y
57	Railroad Retirement Board	Y
58	Securities and Exchange Commission	Y
59	Small Business Administration	Y
60	Smithsonian Institution	Y
61	International Trade Commission	N
62	Tennessee Valley Authority	Y
64	Department of Veterans Affairs	Y
66	Environmental Protection Agency	Y
68	National Gallery of Art	Y
70	Overseas Private Investment Corporation	Y
77	Nuclear Regulatory Commission	Y
78	Commodity Futures Trading Commission	Y
81	Department of Energy	Y
84	Department of Education	Y
85	Scholarship Foundations	Y
86	Pension Benefit Guaranty Corporation	Y
87	Consumer Product Safety Commission	Y
88	Architectural & Transportation Barriers Compliance Board	Y
89	National Archives & Records Administration	Y
90	Delta Regional Authority	Y
90	Denali Commission	Y
90	Election Assistance Commission	Y
90	Japan – U.S. Friendship Commission	Y
91	United States Institute of Peace	Y

Two-Digit Prefix	Federal Agency	Assigned by CFDA?
92	National Council on Disability	Y
93	Department of Health and Human Services	Y
94	Corporation for National and Community Service	Y
96	Social Security Administration	Y
97	Department of Homeland Security	Y
98	U.S. Agency for International Development	Y
99	Miscellaneous	N

The following table lists the federal agency two-digit prefixes as defined by OMB Circular A-133 in alphabetical order. Again, those agencies not assigned by CFDA are indicated by “N” in the right-most column and are highlighted in light yellow; these prefixes are used for OMB Circular A-133 reporting purposes only.

Table 3 – Federal Agency Two-Digit Prefixes (Alphabetical Order)

Two-Digit Prefix	Federal Agency	Assigned by CFDA?
01	African Development Foundation	N
23	Appalachian Regional Commission	Y
88	Architectural & Transportation Barriers Compliance Board	Y
13	Central Intelligence Agency	Y
29	Commission on Civil Rights	Y
78	Commodity Futures Trading Commission	Y
87	Consumer Product Safety Commission	Y
94	Corporation for National and Community Service	Y
90	Delta Regional Authority	Y
90	Denali Commission	Y
10	Department of Agriculture	Y
11	Department of Commerce	Y
12	Department of Defense	Y
84	Department of Education	Y
81	Department of Energy	Y
93	Department of Health and Human Services	Y
97	Department of Homeland Security	Y
14	Department of Housing and Urban Development	Y
16	Department of Justice	Y

Two-Digit Prefix	Federal Agency	Assigned by CFDA?
17	Department of Labor	Y
19	Department of State	Y
15	Department of the Interior	Y
21	Department of the Treasury	Y
20	Department of Transportation	Y
64	Department of Veterans Affairs	Y
90	Election Assistance Commission	Y
66	Environmental Protection Agency	Y
30	Equal Employment Opportunity Commission	Y
32	Federal Communications Commission	Y
33	Federal Maritime Commission	Y
34	Federal Mediation and Conciliation Service	Y
18	Federal Reserve System	Y
36	Federal Trade Commission	Y
39	General Services Administration	Y
40	Government Printing Office	Y
03	Institute of Museum and Library Services	N
04	Inter-American Foundation	N
61	International Trade Commission	N
90	Japan – U.S. Friendship Commission	Y
09	Legal Services Corporation	N
42	Library of Congress	Y
99	Miscellaneous	N
43	National Aeronautics & Space Administration	Y
89	National Archives & Records Administration	Y
92	National Council on Disability	Y
44	National Credit Union Administration	Y
05	National Endowment for the Arts	N
06	National Endowment for the Humanities	N
68	National Gallery of Art	Y
46	National Labor Relations Board	Y
47	National Science Foundation	Y
77	Nuclear Regulatory Commission	Y

Two-Digit Prefix	Federal Agency	Assigned by CFDA?
07	Office of National Drug Control Policy	N
27	Office of Personnel Management	Y
70	Overseas Private Investment Corporation	Y
08	Peace Corps	N
86	Pension Benefit Guaranty Corporation	Y
57	Railroad Retirement Board	Y
85	Scholarship Foundations	Y
58	Securities and Exchange Commission	Y
59	Small Business Administration	Y
60	Smithsonian Institution	Y
96	Social Security Administration	Y
62	Tennessee Valley Authority	Y
98	U.S. Agency for International Development	Y
91	United States Institute of Peace	Y

[Remainder of this page left intentionally blank]

Appendix C SUMMARY REPORT DATA DEFINITIONS

Table 4 – Summary Report Data Definitions

Tab	Field	Description
GENERAL INFO	AUDITYEAR	Audit Year and DBKEY (database key) combined make up the primary key.
GENERAL INFO	DBKEY	Audit Year and DBKEY (database key) combined make up the primary key.
GENERAL INFO	TYPEOFENTITY	FAC Determined Data
GENERAL INFO	FYENDDATE	Fiscal Year Ending Date
GENERAL INFO	AUDITTYPE	Type of Audit
GENERAL INFO	PERIODCOVERED	Audit Period Covered by Audit
GENERAL INFO	NUMBERMONTHS	Number of Months Covered by the 'Other' Audit Period
GENERAL INFO	EIN	Primary Employer Identification Number of Auditee
GENERAL INFO	MULTIPLEEINS	Identifies if the Submission Contains Multiple EINs
GENERAL INFO	EINSUBCODE	Sub-code assigned to the EIN
GENERAL INFO	DUNS	Primary Data Universal Numbering System Number (optional)
GENERAL INFO	MULTIPLEDUNS	Identifies if the Submission Contains Multiple DUNS
GENERAL INFO	AUDITEENAME	Name of the Auditee
GENERAL INFO	STREET1	Auditee Street Address
GENERAL INFO	STREET2	Auditee Street Address
GENERAL INFO	CITY	Auditee City
GENERAL INFO	STATE	Auditee State
GENERAL INFO	ZIPCODE	Auditee ZIP Code
GENERAL INFO	AUDITEECONTACT	Name of Auditee Contact
GENERAL INFO	AUDITEETITLE	Title of Auditee Contact
GENERAL INFO	AUDITEEPHONE	Auditee Phone Number
GENERAL INFO	AUDITEEFAX	Auditee Fax Number (optional)
GENERAL INFO	AUDITEEMAIL	Auditee Email address (optional)
GENERAL INFO	AUDITEEDATESIGNED	Date of auditee signature
GENERAL INFO	AUDITEENAMETITLE	Title of Auditee Certifying Official
GENERAL INFO	AUDITEECERTIFYNAME	Name of Auditee Certifying Official

Tab	Field	Description
GENERAL INFO	AUDITEECERTIFYTITLE	Title of Auditee Certifying Official
GENERAL INFO	CPAFIRMNAME	CPA Firm Name
GENERAL INFO	AUDITOR_EIN	CPA Firm EIN (only available for audit years 2013 and beyond)
GENERAL INFO	CPASTREET1	CPA Street Address
GENERAL INFO	CPASTREET2	CPA Street Address
GENERAL INFO	CPACITY	CPA City
GENERAL INFO	CPASTATE	CPA State
GENERAL INFO	CPAZIPCODE	CPA ZIP Code
GENERAL INFO	CPACONTACT	Name of CPA Contact
GENERAL INFO	CPATITLE	Title of CPA Contact
GENERAL INFO	CPAPHONE	CPA phone number
GENERAL INFO	CPAFAX	CPA fax number (optional)
GENERAL INFO	CPAEMAIL	CPA email address (optional)
GENERAL INFO	CPADATESIGNED	Date of CPA signature
GENERAL INFO	MULTIPLE_CPAS	Identifies if the Submission Contains Multiple CPAs
GENERAL INFO	COG_OVER	“C” indicates program with cognizant agency “O” indicates program with oversight agency Empty cell indicates program with neither cognizant nor oversight agency
GENERAL INFO	COGAGENCY	Two digit Federal agency prefix of the cognizant agency
GENERAL INFO	OVERSIGHTAGENCY	Two digit Federal agency prefix of the oversight agency
GENERAL INFO	TYPEREPORT_FS	Type of Report Issued on the Financial Statements
GENERAL INFO	GOINGCONCERN	Whether or not the audit contained a going concern paragraph on financial statements
GENERAL INFO	REPORTABLECONDITION/SIGNIFICANTDEFICIENCY	Whether or not the audit disclosed a reportable condition/significant deficiency on financial statements

Tab	Field	Description
GENERAL INFO	MATERIALWEAKNESS	Whether or not the audit disclosed any reportable condition/significant deficiency as a material weakness on financial statements
GENERAL INFO	MATERIALNONCOMPLIANCE	Whether or not the audit disclosed a material noncompliance on financial statements
GENERAL INFO	TYPEREPORT_MP	Type of Report Issued on the Major Program Compliance
GENERAL INFO	DUP_REPORTS	Whether or not the financial statements include departments that have separate A-133 audits not included in this audit
GENERAL INFO	DOLLARTHRESHOLD	Dollar Threshold to distinguish between Type A and Type B programs.
GENERAL INFO	LOWRISK	Indicate whether or not the auditee qualified as a low-risk auditee
GENERAL INFO	REPORTABLECONDITION/SIGNIFICANTDEFICIENCY_MP	Whether or not the audit disclosed a reportable condition/significant deficiency for any major program in the Schedule of Findings and Questioned Costs
GENERAL INFO	MATERIALWEAKNESS_MP	Indicate whether any reportable condition/significant deficiency was disclosed as a material weakness for a major program in the Schedule of Findings and Questioned Costs
GENERAL INFO	QCOSTS	Indicate whether or not the audit disclosed any known questioned costs
GENERAL INFO	CYFINDINGS	Indicate whether or not current year findings affecting direct funds were reported
GENERAL INFO	PYSCHEDULE	Indicate whether or not the report includes a Summary Schedule of Prior Year Audit Findings
GENERAL INFO	TOTFEDEXPEND	Total Federal Expenditures
GENERAL INFO	INITIAL DATE RECEIVED	The first date an audit component or Form SF-SAC was received by the Federal Audit Clearinghouse (FAC).
GENERAL INFO	FORM DATE RECEIVED	The most Recent Date the Form SF-SAC was received by the FAC. This field was not populated before 2001.

Tab	Field	Description
GENERAL INFO	COMPONENT DATE RECEIVED	The most recent date an audit component was received by the FAC. This field was not populated before 2004. Receipts of Financial statements only are not processed until the rest of the audit or a Form SF-SAC is also received.
GENERAL INFO	COMPLETED_ON	Date the Audit was Posted to the Internet as Complete
GENERAL INFO	PREVIOUSLY_COMPLET ED_ON	Date the Audit was Previously Posted to the Internet as Complete
GENERAL INFO	REPORTREQUIRED	Distribution to Federal Agency required?
GENERAL INFO	FAC ACCEPTED DATE	The most recent date an audit report was submitted to the FAC that passed FAC screening and was accepted as a valid OMB Circular A-133 report submission.
CFDA INFO	AUDITYEAR	Audit Year and DBKEY (database key) combined make up the primary key.
CFDA INFO	DBKEY	Audit Year and DBKEY (database key) combined make up the primary key.
CFDA INFO	CFDA	Federal Agency Prefix and Extension
CFDA INFO	RD	Indicate whether or not the program is a Research and Development program
CFDA INFO	LOANS	Indicate whether or not the program is a Loan or Loan Guarantee (only available for audit years 2013 and beyond)
CFDA INFO	ARRA	American Recovery and Reinvestment Act Funded Program
CFDA INFO	FEDERALPROGRAMNA ME	Name of Federal Program
CFDA INFO	AMOUNT	Amount Expended for the Federal Program
CFDA INFO	DIRECT	Indicate whether or not the award was received directly from a Federal awarding agency
CFDA INFO	MAJORPROGRAM	Indicate whether or not the Federal program is a major program
CFDA INFO	TYPEREPORT_MP	Type of Report Issued on the Major Program Compliance

Tab	Field	Description
CFDA INFO	TYPEPEREQUIREMENT	Type Requirement Failure (data for audit years 2013 and beyond in Findings)
CFDA INFO	FINDINGREFNUMS	Findings Reference Numbers (data for audit years 2013 and beyond in Findings)
CFDA INFO	FINDINGSCOUNT	Number of findings for the federal program (only available for audit years 2013 and beyond)
CFDA INFO	ELECAUDITSID	FAC system generated sequence number used to link to Findings data between CFDA Info and Findings
FINDINGS	DBKEY	Audit Year and DBKEY (database key) combined make up the primary key.
FINDINGS	AUDITYEAR	Audit Year and DBKEY (database key) combined make up the primary key.
FINDINGS	ELECAUDITSID	FAC system generated sequence number used to link to Findings data between CFDA Info and Findings
FINDINGS	ELECAUDITFINDINGSID	FAC system generated sequence number for finding
FINDINGS	FINDINGREFNUMS	Findings Reference Numbers
FINDINGS	TYPEPEREQUIREMENT	Type Requirement Failure
FINDINGS	MODIFIEDOPINION	Modified Opinion finding
FINDINGS	OTHER MATTERS	Other matters
FINDINGS	MATERIALWEAKNESS	Material Weakness finding
FINDINGS	SIGNIFICANTDEFICIENCY	Significant Deficiency finding
FINDINGS	OTHERFINDINGS	Other findings
FINDINGS	QCOSTS	Questioned Costs
AGENCY INFO	AUDITYEAR	Audit Year and DBKEY (database key) combined make up the primary key.
AGENCY INFO	DBKEY	Audit Year and DBKEY (database key) combined make up the primary key.
AGENCY INFO	AGENCYCFDA	2-digit prefix of Federal Agency requiring copy of audit report

Tab	Field	Description
EIN INFO	AUDITYEAR	Audit Year and DBKEY (database key) combined make up the primary key.
EIN INFO	DBKEY	Audit Year and DBKEY (database key) combined make up the primary key.
EIN INFO	EIN	Employer Identification Numbers
EIN INFO	EINSEQNUM	FAC generated sequence number (not available for audit years 2013 and beyond)
DUNS INFO	AUDITYEAR	Audit Year and DBKEY (database key) combined make up the primary key.
DUNS INFO	DBKEY	Audit Year and DBKEY (database key) combined make up the primary key.
DUNS INFO	DUNS	Multiple Data Universal Numbering System Numbers
DUNS INFO	DUNSEQNUM	FAC generated sequence number (not available for audit years 2013 and beyond)
MULTIPLE CPAS INFO	AUDITYEAR	Audit Year and DBKEY (database key) combined make up the primary key.
MULTIPLE CPAS INFO	DBKEY	Audit Year and DBKEY (database key) combined make up the primary key.
MULTIPLE CPAS INFO	SEQNUM	FAC generated sequence number (not available for audit years 2013 and beyond)
MULTIPLE CPAS INFO	CPAFIRMNAME	CPA Firm Name
MULTIPLE CPAS INFO	CPAEIN	CPA Firm EIN (only available for audit years 2013 and beyond)
MULTIPLE CPAS INFO	CPASTREET1	CPA Street Address
MULTIPLE CPAS INFO	CPACITY	CPA City
MULTIPLE CPAS INFO	CPASTATE	CPA State
MULTIPLE CPAS INFO	CPAZIPCODE	CPA ZIP Code
MULTIPLE CPAS INFO	CPACONTACT	Name of CPA Contact

Tab	Field	Description
MULTIPLE CPAS INFO	CPATITLE	Title of CPA Contact
MULTIPLE CPAS INFO	CPAPHONE	CPA phone number
MULTIPLE CPAS INFO	CPAFAX	CPA fax number (optional)
MULTIPLE CPAS INFO	CPAEMAIL	CPA email address (optional)

[Remainder of this page left intentionally blank]

Appendix D STANDARD CFDA DATA DEFINITIONS

Table 5 – Standard CFDA Data Definitions

Tab	Field	Description
Report Details	AUDIT YEAR	Fiscal Year Ending
Report Details	CFDA	CFDA Prefix and Extension
Report Details	AWARDS	Total number of awards made
Report Details	AUDITS	Total number of audits conducted
Report Details	AMOUNT	Total dollar amount of awards
Report Details	% DIRECT	Percent of awards that were direct awards
Report Details	% MAJOR PROGRAMS	Percent of awards that were made to major programs
Report Details	% FINDINGS	Percent of awards with findings
Type of Compliance Requirement (Count Totals)		
Report Details	A	Activities Allowed or Disallowed
Report Details	B	Allowable costs/cost principles
Report Details	C	Cash management
Report Details	D	Davis-Bacon Act
Report Details	E	Eligibility
Report Details	F	Equipment and real property management
Report Details	G	Matching, level of effort, earmarking
Report Details	H	Period of availability of Federal funds
Report Details	I	Procurement and suspension and debarment
Report Details	J	Program income
Report Details	K	Real property acquisition and relocation assistance
Report Details	L	Reporting
Report Details	M	Sub-recipient monitoring
Report Details	N	Special tests and provisions
Report Details	O	None (2008 through 2012 Only)
Report Details	P	Other

Appendix E STANDARD AUDITEE DATA DEFINITIONS

Table 6 – Standard Auditee Data Definitions

Tab	Field	Description
Detail	YEAR	Fiscal Year Ending
Detail	NAME	Name of the Auditee
Detail	EIN	Primary Employer Identification Number of Auditee
Detail	ST	Auditee State
Detail	CFDA	CFDA Prefix and Extension
Detail	PROGRAM NAME	Program Name
Detail	ARRA	Whether or not the program is part of the American Recovery and Reinvestment Act (Y or N)
Detail	\$ AMOUNT	Total dollar amount of awards
Detail	COMPL. REQ	One or more of the following Compliance Requirement types: A. Activities Allowed or Disallowed B. Allowable costs/cost principles C. Cash management D. Davis-Bacon Act E. Eligibility F. Equipment and real property management G. Matching, level of effort, earmarking H. Period of availability of Federal funds I. Procurement and suspension and debarment J. Program income K. Real property acquisition and relocation assistance L. Reporting M. Sub-recipient monitoring N. Special tests and provisions O. None (2008 through 2012 Only) P. Other
Detail	DIR	Whether or not the program was award a direct award (Y or N)
Detail	MP	Indicate whether or not the Federal program is a major program (Y or N)

Tab	Field	Description
Detail	OPIN. On MP	Opinion qualifier for major programs only: <ul style="list-style-type: none">○ (U) Unqualified/Unmodified○ (Q) Qualified○ (QA) Adverse Opinion○ (D) Disclaimer of Opinion
Detail	FINDINGS	Whether or not the audit disclosed one or more findings
Detail	TYPE OF ENTITY	Type of Entity (FAC determined)

[Remainder of this page left intentionally blank]

Appendix F ABBREVIATIONS AND ACRONYMS

Table 7 – Abbreviations and Acronyms

Abbreviation / Acronym	Definition
CFDA	Catalog of Federal Domestic Assistance
CPA	Certified Public Accountant
DBKEY	Database Key
DD	Two-digit day, 01 to 31
DUNS	Data Universal Numbering System
EIN	Employer Identification Number
FAC	Federal Audit Clearinghouse
FOIA	Freedom of Information Act
FY	Fiscal Year
ID	Identity
IMS	Image Management System
INFO	Information
OMB	Office of Management and Budget
MM	Two-digit month, 01 to 12
N	No
N/A	Not Applicable or Not Available
NPC	National Processing Center
PDF	Portable Document Format
SF-SAC	Standard Form titled “Data Collection Form for Reporting on AUDITS OF STATES, LOCAL GOVERNMENTS, AND NON-PROFIT ORGANIZATIONS”
URL	Uniform Resource Locator
U.S.	United States
Y	Yes
YYYY	Four-digit year
ZIP	Zone Improvement Plan

Appendix G GLOSSARY OF TERMS

Table 8 – Glossary of Terms

Term	Definition
Audit Report	The Audit Report is a PDF of the audit report complete by an auditor (respondent) and uploaded on the FAC/IDES. The PDF and form SF-SAC constitute a submission to the FAC. Audit Reports are available via the FAC/IMS.
FAC	The Federal Audit Clearinghouse is the OMB-designated repository of Single Audit data and is maintained by the Census Bureau, Economic Reimbursable Division, Federal Programs Branch.
FAC/IDDS	FAC Internet Data Dissemination System is a publicly-facing internet application in the FAC suite that enables querying and downloading of information collected on form SF-SAC.
FAC/IDES	FAC Internet Data Entry System is an application in the FAC suite that is accessed by respondents to submit Single Audit report information to the FAC.
FAC/IMS	FAC Image Management System is a password protected application in the FAC suite that provides federal agency users the capability to query and download Single Audit report information and information collected on the Form SF-SAC.
FAC Processing	FAC Processing is an application in the FAC suite used by Census Bureau staff at the National Processing Center (NPC). After a Single Audit report is submitted, NPC staff use the FAC Processing application to verify, validate, and conduct other processing on the report package. Once a Single Audit report package has been successfully processed by FAC Processing and NPC staff, it is provided to FAC/IDDS and FAC/IMS for appropriate dissemination.
Form SF-SAC	The Data Collection Form (Form SF-SAC) is a worksheet which recipients must complete online and include with the Single Audit reporting packages sent to the FAC.

Term	Definition
OMB Circular A-133	<p>The OMB Circular A-133: Compliance Supplement is a large and extensive guide created by the OMB for Single Audits, and is considered the most important tool of both the auditor and the recipient when performing, or being subject to, a Single Audit. It was created following amendments in 1996 to the Single Audit Act and serves to identify existing important compliance requirements that the Federal Government expects to be considered as part of a Single Audit. Without it, auditors would need to research thousands of laws and regulations for each single program of a recipient to determine which compliance requirements are important to the Federal Government. For Single Audits, the Supplement replaces any agency audit guides and other audit requirement documents for individual Federal programs.</p>

[Remainder of this page left intentionally blank]